





State of Utah

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Governor

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DEPARTMENT OF TRANSPORTATION

JOHN R. NJORD, P.E.
Executive Director

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Deputy Director

To our Local Government Partners,

The Utah Department of Transportation (UDOT) recognizes that federal and state funding is an important part of any Local Government Agency's transportation plan. The purpose of this manual is to assist local governments in obtaining and properly utilizing these funds.

Federal aid local government projects have the same priority to UDOT as our own state projects. UDOT and Local Government Agencies are partners in their successful completion. UDOT's role is to provide oversight to the LGA and to assist in the timely delivery of projects.


Governor Huntsman has called attention to the development of transportation in our state as a necessary and vital part of Utah's economic success. Our transportation system depends on the state highways that UDOT maintains and the local roads owned and operated by cities and counties. In order to realize Governor Huntsman's goal of economic success, we must continually improve our entire system.

The Local Government Manual of Instruction defines how to apply and qualify for Federal and State funding for transportation purposes and how to execute projects once funding is secured. It institutes a uniform and consistent statewide process for following the applicable requirements associated with each funding type.

The responsibilities of a Local Government Agency (LGA) that applies for funding and is selected are threefold. They will need to provide matching funds for the project at defined intervals as the project progresses. They must complete their project in a timely way, beginning when the project is in its first funded year on the Statewide Transportation Improvement Program (STIP) through the year it is programmed for construction. LGAs accepting federal aid are expected to meet all federal requirements in the execution of their project.

We look forward to working with local governments to identify and implement more efficient, effective, and streamlined ways of putting Federal and State funds to optimal use.

Sincerely,


Carlos M. Braceras, P.E.
Deputy Director

Jim McMinimee
Director, Project Development


Ahmad Jaber
Director, Systems Planning and Programming

CHAPTER 1 INTRODUCTION

| | | |
|-----|--------------------------------------|---|
| 1.1 | Partnership for Success | 1 |
| 1.2 | Federal Highway Administration | 1 |
| 1.3 | Purpose and Organization | 2 |
| 1.4 | Authority | 2 |
| 1.5 | Manual Updates | 2 |
| 1.6 | Acronyms | 3 |
| 1.7 | UDOT Contacts | 4 |
| 1.8 | Additional Resources | 6 |

CHAPTER 2 OVERVIEW

| | | |
|-----|---------------------------------------|----|
| 2.1 | Federal and State Aid Funds | 9 |
| 2.2 | Process Flow Chart and Timeline | 10 |

CHAPTER 3 CONFLICT RESOLUTION PROCESS

| | | |
|-----|--|----|
| 3.1 | Planning and Programming Phase | 15 |
| 3.2 | Design Phase | 16 |
| 3.3 | Construction Phase | 17 |
| 3.4 | Financial Audit and Project Closeout Phase | 17 |

CHAPTER 4 PLANNING AND PROGRAMMING PHASE

| | | |
|-----|---|----|
| 4.1 | Local Government Introduction to Federal and State Aid..... | 19 |
| 4.2 | Joint Highway Committee (JHC) | 24 |
| 4.3 | Metropolitan Planning Organization (MPO) | 27 |
| 4.4 | Transportation Enhancement Funds..... | 28 |
| 4.5 | Safety Funds..... | 31 |
| 4.6 | Non-Project Specific Funds..... | 33 |

CHAPTER 5 DESIGN PHASE

| | | |
|------|---|----|
| 5.1 | Federal Aid Agreement | 37 |
| 5.2 | Consultant Design Contract..... | 39 |
| 5.3 | Environmental Document and Preliminary Design | 43 |
| 5.4 | Utility Agreement | 46 |
| 5.5 | Right-of-Way Approval..... | 47 |
| 5.6 | Final Design | 49 |
| 5.7 | PS&E Estimate Review | 52 |
| 5.8 | Consultant CEM Contract..... | 53 |
| 5.9 | Billing for Construction Match | 57 |
| 5.10 | Advertising Packet | 57 |

CHAPTER 6 CONSTRUCTION PHASE

| | | |
|-----|----------------------------------|----|
| 6.1 | Advertising | 59 |
| 6.2 | Construction Administration..... | 60 |
| 6.3 | Materials Testing | 62 |
| 6.4 | Project Inspection..... | 64 |
| 6.5 | Project Closeout | 64 |

CHAPTER 7 CONTRACT AUDITS AND FINANCIAL PROJECT CLOSEOUT

| | | |
|-----|----------------------------------|----|
| 7.1 | Project Contract Audits | 67 |
| 7.2 | Financial Project Closeout | 68 |

CHAPTER 8 APPENDIX

| | | |
|--|---------------------------|----|
| | Checklists and Forms..... | 71 |
|--|---------------------------|----|

1.1 PARTNERSHIP FOR SUCCESS

The strength of the Utah Department of Transportation (UDOT) depends on the strength of its programs. Federal Aid (FA) Local Government transportation projects are an important part of those programs. Local Government Agency (LGA) projects have the same priority to UDOT as state projects. UDOT and LGAs are partners in the successful completion of LGA projects.

1.2 FEDERAL HIGHWAY ADMINISTRATION

The Federal Highway Administration (FHWA) is the Federal agency most typically involved in transportation projects undertaken with Federal funding for the programs discussed in this manual. It has the authority and responsibility for implementing and monitoring Federal laws, regulations, and executive orders affecting these programs. When a project involves Federal funding, FHWA is involved according to these responsibilities, delegations, and agreements between FHWA and UDOT.

These agreements establish the respective roles and responsibilities of each agency in providing oversight of FA Highway Program activities. The current Oversight Agreement provides the full delegation of responsibility provided under the law, to UDOT complimented by program oversight by the FHWA Division Office.

Section 302, Title 23 of the United States Code (USC), requires that any state desiring to take advantage of the provisions of this title, have a state transportation department that has adequate powers and is suitably equipped and organized to carry out the required title duties to the satisfaction of the United States Department of Transportation (USDOT) Secretary. These duties include ensuring that states develop and complete projects in compliance with applicable laws, regulations, and approved standards. By requiring the completion of projects in accordance with the approved plans and specifications, FHWA assigned responsibility for contract administration and construction inspection to the state highway agencies.

Section 635.105, Title 23 of the Code of Federal Regulations (CFR), notes that the state highway agency is responsible for the construction of all FA projects and is not relieved of this responsibility by authorizing performance of the work by a LGA or another Federal agency. The state highway agency is responsible for ensuring that LGA projects receive adequate supervision and inspection and conform to approved plans and specifications.

This section of the CFR also explains that when a project is located on a street or highway over which the state highway agency does not have legal jurisdiction or when special conditions warrant, the state highway agency may arrange for the LGA with jurisdiction over the street or highway to perform the work with its own forces or by contract.

When the LGA performs the work with its own forces or by contract, the LGA is responsible for providing adequate supervision and inspection and ensuring that the project conforms to approved plans and specifications. The LGA monitors the quality of work on the project and the day-to-day activities and issues of its consultants.

The LGA shares costs with the Federal Government regardless of legal responsibility and assumes responsibility for the design, construction quality, and maintenance, as required.

1.3 PURPOSE AND ORGANIZATION

- PURPOSE -

The UDOT Local Government Guide facilitates and guides LGAs and UDOT through the process of administering Local Government projects. Completeness and standardization are key to the success of this process.

UDOT and LGAs are subject to the provisions of this Guide. Information is also available on the UDOT web site www.udot.utah.gov/go/localgovernment.

- ORGANIZATION -

The UDOT Local Government Guide organization facilitates quick access to key Local Government process information. The Guide's primary sections include:

- Part 1: Introduction
- Part 2: Overview
- Part 3: Conflict Resolution Process
- Part 4: Planning And Programming Phase
- Part 5: Design Phase
- Part 6: Construction Phase
- Part 7: Project Audits and Financial Project Closeout

1.4 AUTHORITY

This Guide references other UDOT manuals. The processes set forth in this Guide take precedence if there are conflicts between this and other manuals. This Guide represents the State of Utah standard for the programming, design, and construction of Local Government projects.

- PLANNING AND PROGRAMMING PROCESS -

Carry out planning and programming activities in accordance with state laws, regulations, and directives.

- DESIGN AND CONSTRUCTION PROCESS -

Design, construct, operate, and maintain non-National Highway System (NHS) projects in accordance with state laws, regulations, directives, safety standards, design standards, and construction standards.

1.5 MANUAL UPDATES

UDOT will update this manual to reflect modifications and changes to the Local Government process. UDOT Project Development will oversee updates and coordination with FHWA. Contact the UDOT Local Government Project Engineer if you have questions.

1.6 ACRONYMS

| | |
|-------------|--|
| AASHTO..... | American Association of State Highway and Transportation Officials |
| ADA | Americans with Disabilities Act |
| ASTM..... | American Society for Testing of Materials |
| B&C | Class B and C Road Funds |
| CATEX..... | Categorical Exclusion |
| CFR..... | Code of Federal Regulations |
| CMAQ | Congestion Mitigation and Air Quality |
| CMPO..... | Cache Metropolitan Planning Organization |
| DBE..... | Disadvantaged Business Enterprise |
| DMPO | Dixie Metropolitan Planning Organization |
| EA..... | Environmental Assessment |
| EAC..... | Enhancement Advisory Committee |
| EIS..... | Environmental Impact Study |
| EOR | Engineer of Record |
| ePM | Electronic Program Management |
| FHWA | Federal Highway Administration |
| FMIS | Financial Management Information System |
| FONSI..... | Finding of No Significant Impact |
| FTA..... | Federal Transit Administration |
| HBP..... | Highway Bridge Program |
| IA..... | Independent Assurance Program |
| ICE | Independent Cost Estimate |
| JHC | Joint Highway Committee |
| LGA..... | Local Government Agency |
| LTAP..... | Utah Local Technical Assistance Program |
| M&P | Measurement and Payment |
| MAG | Mountainland Association of Governments |
| MAP | Materials Acceptance Program |
| MPO..... | Metropolitan Planning Organization |
| MS&T | Minimum Sampling and Testing Requirements |
| NHS | National Highway System |
| NURB | STP Non-Urban Funds |
| PDBS..... | Project Development Business System |
| PS&E..... | Plans, Specifications, and Estimates |
| QA..... | Quality Assurance |
| QC..... | Quality Control |
| RFQ..... | Request for Qualifications |
| RLOI | Request for Letter of Interest |

RORRun-off-Road
 SAFETEA-LU...Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
 SMURBSTP Small Urban Funds
 SPAState Park Access
 STIPStatewide Transportation Improvement Program
 STPSurface Transportation Program
 TE.....Transportation Enhancements
 TIPTransportation Improvement Program
 UDOTUtah Department of Transportation
 USDOTUnited States Department of Transportation
 USC.....United States Code
 UTCUtah Transportation Commission
 WFRCWasatch Front Regional Council

1.7 UDOT CONTACTS

The following information is current as of December 2008.

- LOCAL GOVERNMENT ENGINEERS -

Local Government Programs Engineer: Matthew Swapp, 801-965-4366, mswapp@utah.gov

Local Government Project Engineer: Jerry Maio, 801-965-4181, jmaio@utah.gov

- PROJECT DEVELOPMENT: 801-965-4173 -

Advertising Coordinator: Marge Sanchez, 801-965-4079, marjoriesanchez@utah.gov

Central Construction and Materials Division: 801-965-4346

Consultant Services Financial Screener: Mike Hanni, 801-965-4138, mikhanni@utah.gov

Consultant Services LG Contract Administrator: Raeleen Sanchez, 801-965-4183, raeleen@utah.gov

Consultant Services Manager: Gaye Hettrick, 801-965-4639, ghettick@utah.gov

ePM: Elaine Fanning, 801-957-8537, efanning@utah.gov

Engineering Technology Systems Group: 801-965-4865

Environmental Program Manager: Rebecca Stromness, 801-965-4327, rstromness@utah.gov

Right-of-Way Section: Lyle McMillan, 801-965-4331, lmcmillan@utah.gov

Right-of-Way Local Government: Bill Lovelace, 801-965-4238, blovelace@utah.gov

PreConstruction and Specifications Engineer: Robert Miles, 801-965-4362, robertmiles@utah.gov

- SYSTEMS PLANNING & PROGRAMMING: 801-965-4129 -

Class B&C Road Fund Engineer: Matthew Swapp, 801-965-4366, mswapp@utah.gov

Class B&C Road Inventory Supervisor: Jeff Ericson, 801-965-4352, jericson@utah.gov

Functional Classification: Peter Jager, 801-965-4560, pjager@utah.gov

FTA Section 5310 Specialized Program Manager: Leone Gibson, 801-964-4508, lgibson@utah.gov

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Mineral Lease Fund Administrator: Kevin Anderson, 801-964-4542, kevinlanderson@utah.gov

Risk Management Administrator: Warren Grames, 801-965-4272, wgrames@utah.gov

Engineer for Planning: John Thomas, 801-965-4354, johnthomas@utah.gov

Safety Programs Engineer: Mike Kaczorowski, 801-965-4521, mkaczorowski@utah.gov

Safety Studies Engineer: Scott Jones, 801-965-4285, wsjones@utah.gov

Chief Railroad Engineer: Eric Cheng, 801-965-4284, echeng@utah.gov

Pedestrian Safety Engineer: Ming Jiang, 801-965-4427, mjiang@utah.gov

Safe Routes to School Coordinator: Cherissa Wood, 801-965-4486, cwood@utah.gov

STIP Coordinator: Bob Pelly, 801-965-4169, rpelly@utah.gov

Transit Plans and Program Director: Leone Gibson, 801-964-4508, lgibson@utah.gov

Transportation Planner: Tim Boschert, 801-965-4175, tboschert@utah.gov

- REGIONS -

Region 1 Project Management: Kevin Griffin, 801-620-1683, kgriffin@utah.gov

Region 2 Project Management: Joe Kammerer, 801-887-3435, jkammerer@utah.gov

Region 3 Project Management: Shane Marshall, 801-222-3406, smarshall@utah.gov

Region 4 Project Management: Rick Torgerson, 435-893-4781, rtorgerson@utah.gov

- COMPTROLLERS: 801-965-4858 -

Financial Manager: Kelly Garner, 801-965-4006, kgarner@utah.gov

1.8 ADDITIONAL RESOURCES

The following information is current as of the revision date shown below.

- MANUALS -

www.udot.utah.gov/go/manuals

Construction Manual of Instruction: www.udot.utah.gov/go/manuals

Consultant Services Manual of Instruction: www.udot.utah.gov/go/manuals

Design Process Manual: www.udot.utah.gov/go/manuals

Environmental Process Manual of Instruction: www.udot.utah.gov/index.php/m=c/tid=1328

Materials Manual of Instruction: www.udot.utah.gov/index.php/m=c/tid=644

Right-of-Way Manual of Instruction: www.udot.utah.gov/index.php/m=c/tid=199

Right-of-Way Operation Manual: www.udot.utah.gov/go/manuals

Roadway Design Manual of Instruction: www.udot.utah.gov/go/manuals

Specification Writers' Guide: www.udot.utah.gov/index.php/m=c/tid=719

Statewide Transportation Improvement Program (STIP) Development Process Manual and Timeline: www.udot.utah.gov/main/?p=100;pg:3028146457985886:::1:T,V:40,

- METROPOLITAN PLANNING ORGANIZATIONS -

Cache Metropolitan Planning Organization (CMPO): www.cmpo.info/

Dixie Metropolitan Planning Organization (DMPO): www.dixiempo.org

Mountainland Association of Governments (MAG): www.mountainland.org/

Wasatch Front Regional Council (WFRC): www.wfrc.org/

- PROJECT DEVELOPMENT -

Concept Cost Estimate Spreadsheet: www.udot.utah.gov/index.php/m=c/tid=721

Consultant QC/QA Plan Responsibility Form: www.udot.utah.gov/index.php/m=c/tid=287

Electronic Program Management (ePM): www.udot.utah.gov/index.php/m=c/tid=716

Federal Advertising Checklist and UDOT Special Provision Related Steps: www.udot.utah.gov/index.php/m=c/tid=302. From this link, select the current year Standards link, followed by the current year Project Checklist link.

Federal Highway Administration Guidance for Preparing and Processing Environmental and Section 4(f) Documents – Technical Advisory TA 6640.8A: environment.fhwa.dot.gov/projdev/impTA6640.asp

Flexible Match Guidelines: www.udot.utah.gov/go/csforms

Flexible Match Proposal Form: www.udot.utah.gov/go/csforms

Local Government Project Process: www.udot.utah.gov/go/localgovernment

Measurement and Payment (M&P) Document: www.udot.utah.gov/index.php/m=c/tid=302. From this link, select the current year Standards link, followed by the current year Measurement and Payment link.

Project Development Business System (PDBS): www.udot.utah.gov/index.php/m=c/tid=899

Project Insurance Requirements: www.udot.utah.gov/index.php/m=c/tid=287

Project Specification Creation Instructions: www.udot.utah.gov/index.php/m=c/tid=302. From this link, select the current year Standards link, followed by the current year Standards and Supplemental Specifications link, followed by the General Specification Information link.

Real Estate Acquisition Guide For Local Public Agencies: www.fhwa.dot.gov/realestate/lpaguide/index.htm

Sample UDOT Staffing Plan Form: www.udot.utah.gov/index.php/m=c/tid=287

Standard QC Checklists: www.udot.utah.gov/index.php/m=c/tid=995

Standard QC/QA Process Document: www.dot.state.ut.us/index.php/m=c/tid=650

Standards and Specifications Section Contact List: www.udot.utah.gov/index.php/m=c/tid=524

Statewide Transportation Improvement Program (STIP): www.udot.utah.gov/main/f?p=100:pg:3028146457985886:::1:T,V:40,

- SYSTEMS PLANNING AND PROGRAMMING -

www.udot.utah.gov/index.php/m=c/tid=53

Class B and C Regulations document: www.dot.state.ut.us/index.php/m=c/tid=134

Functional Classification Maps: www.udot.utah.gov/index.php/m=c/tid=1224

Mineral Lease Fund Distributions: www.udot.utah.gov/index.php/m=c/tid=135

National Transportation Enhancements Clearinghouse: www.enhancements.org

Public Transportation: www.udot.utah.gov/index.php/m=c/tid=611

Road Safety Improvement Program: www.udot.utah.gov/index.php/m=c/tid=1084

Safe Routes to School Program: www.udot.utah.gov/index.php/m=c/tid=578

Safe Sidewalk Program: www.udot.utah.gov/index.php/m=c/tid=583

Spot Safety Improvement Program: www.udot.utah.gov/index.php/m=c/tid=575

Utah Enhancement Program: www.udot.utah.gov/index.php?m=c&tid=192

Utah Local Technical Assistance Program (LTAP): www.utahltap.org

2.1 FEDERAL AND STATE AID FUNDS

The following table identifies the funding source along with the approving body for each of the federal and state aid funds available to local governments.

| FUND | SOURCE | APPROVING BODY |
|--|---------|--|
| Transportation Enhancement (TE) | Federal | EAC |
| Highway Bridge Program (HBP) | Federal | Off System - JHC On System - UDOT |
| State Park Access (SPA) | State | JHC |
| STP Non-Urban (NURB) | Federal | JHC |
| STP Small Urban (SMURB) | Federal | JHC |
| Congestion Mitigation/Air Quality (CMAQ) | Federal | MPO |
| STP Urban | Federal | MPO |
| Mineral Lease | Federal | UDOT |
| Class B&C | State | UDOT |
| FTA Public Transportation Programs | Federal | UDOT Systems Planning & Programming |
| Railroad Crossings | Federal | UDOT Chief Railroad Engineer |
| Roadway Safety Improvement (RSI) Program | Federal | UDOT Safety Programs Engineer |
| Rural Run-Off Road Mitigation Program | Federal | UDOT Safety Programs Engineer |
| Safe Sidewalk Program | State | UDOT Pedestrian Safety Engineer |
| Safe Routes to School | Federal | UDOT Safe Routes to School Coordinator |
| Scenic Byways | Federal | UDOT Systems Planning & Programming |
| Transportation, Community, and System Preservation | Federal | FHWA |

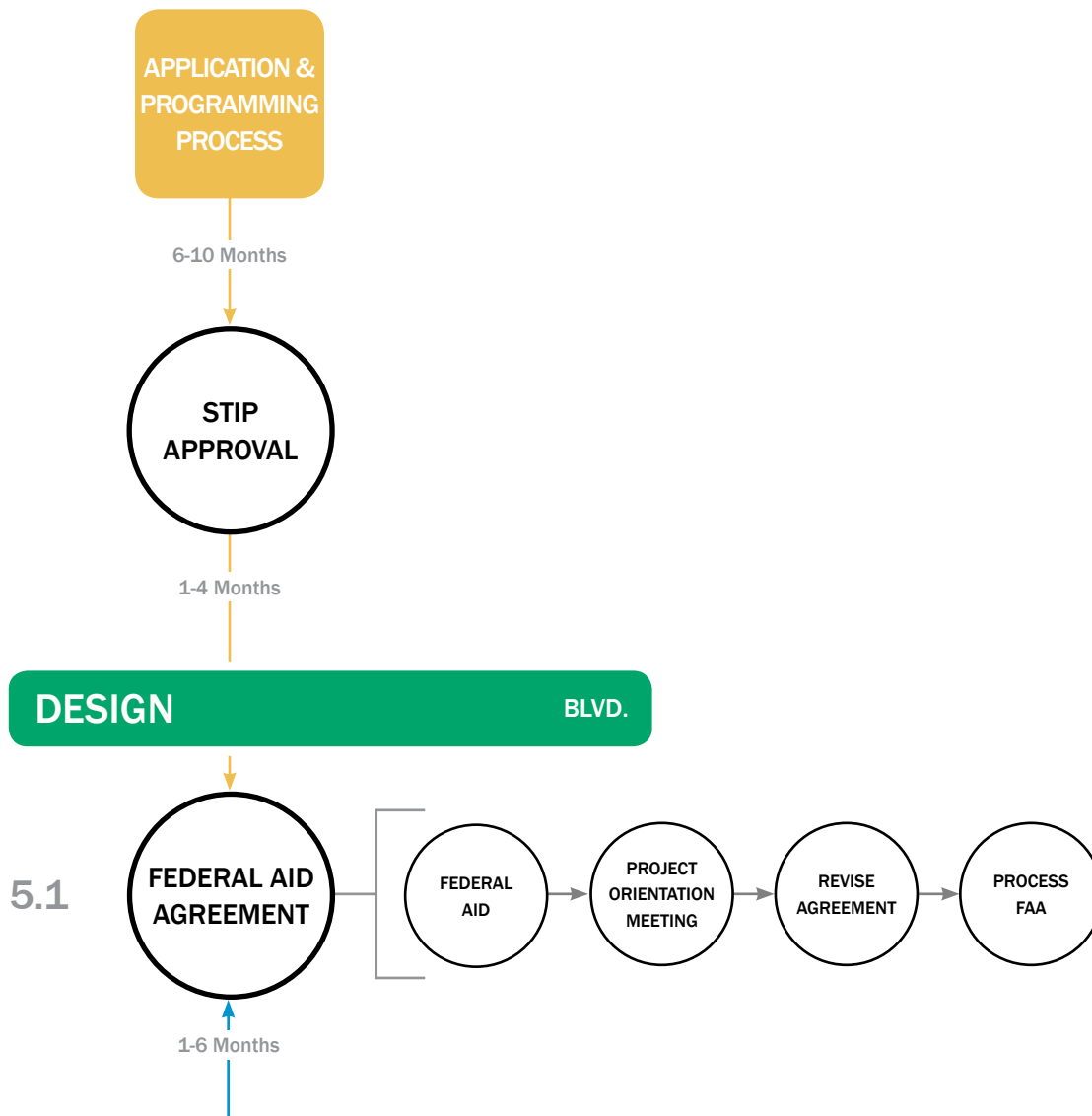
2.2 PROCESS FLOW CHART AND TIMELINE

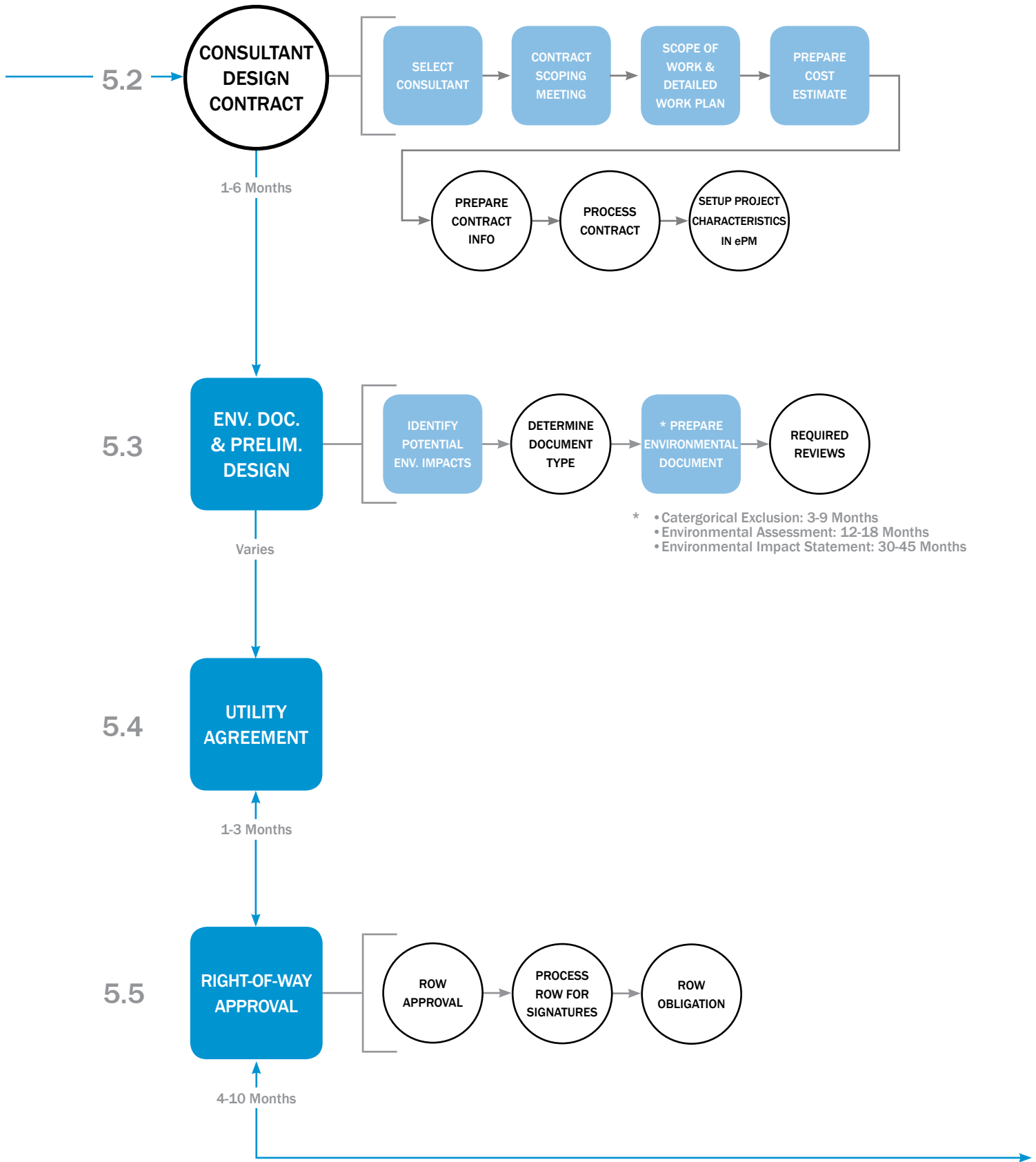
The Local Government Project Process is available on the UDOT web site: www.udot.utah.gov/go/localgovernment. The following timelines indicate approximate lengths of time necessary to complete the overall process as well as individual activities for Part 5 Design and Part 6 Construction.

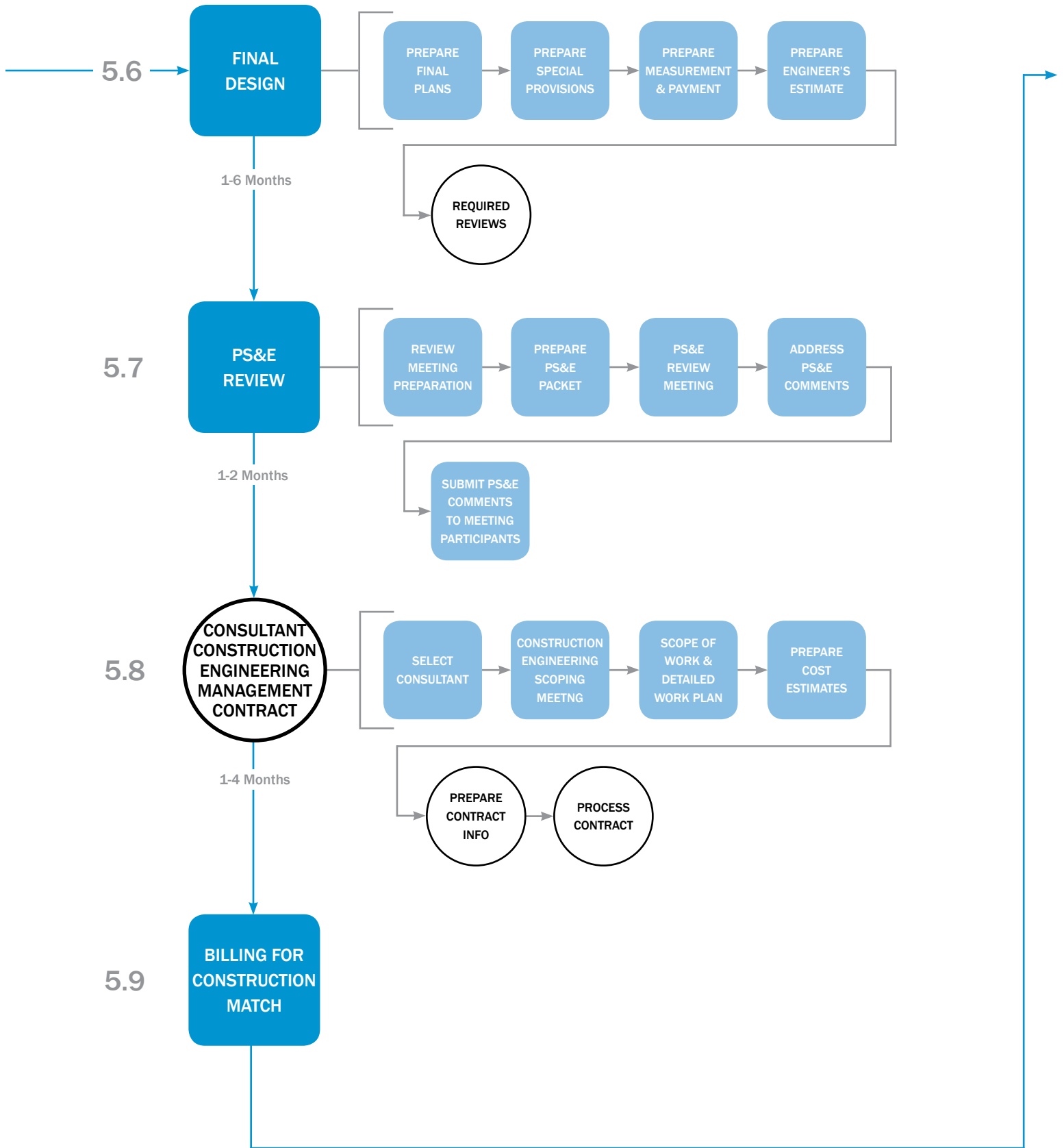
- PROCESS LEGEND -

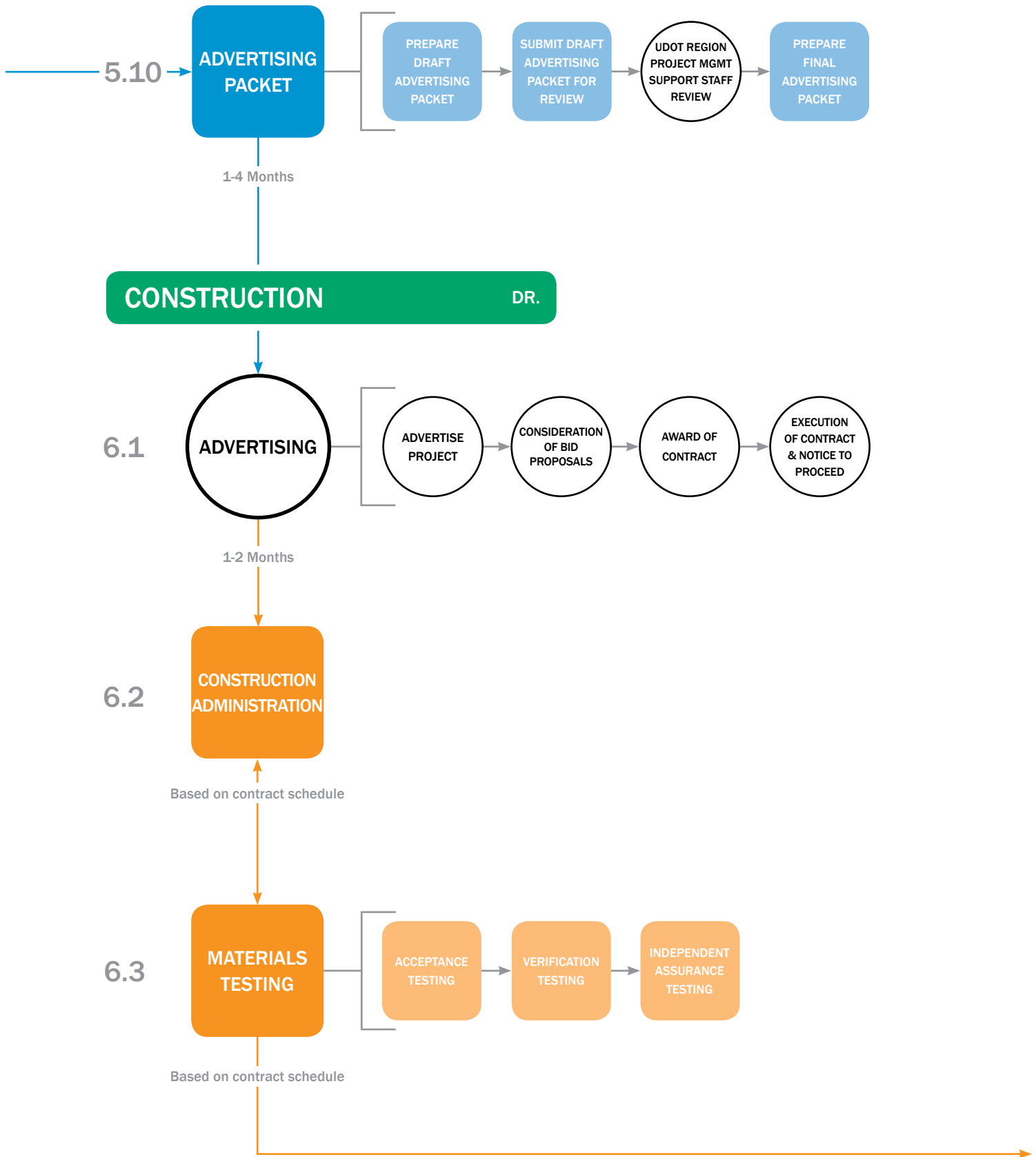


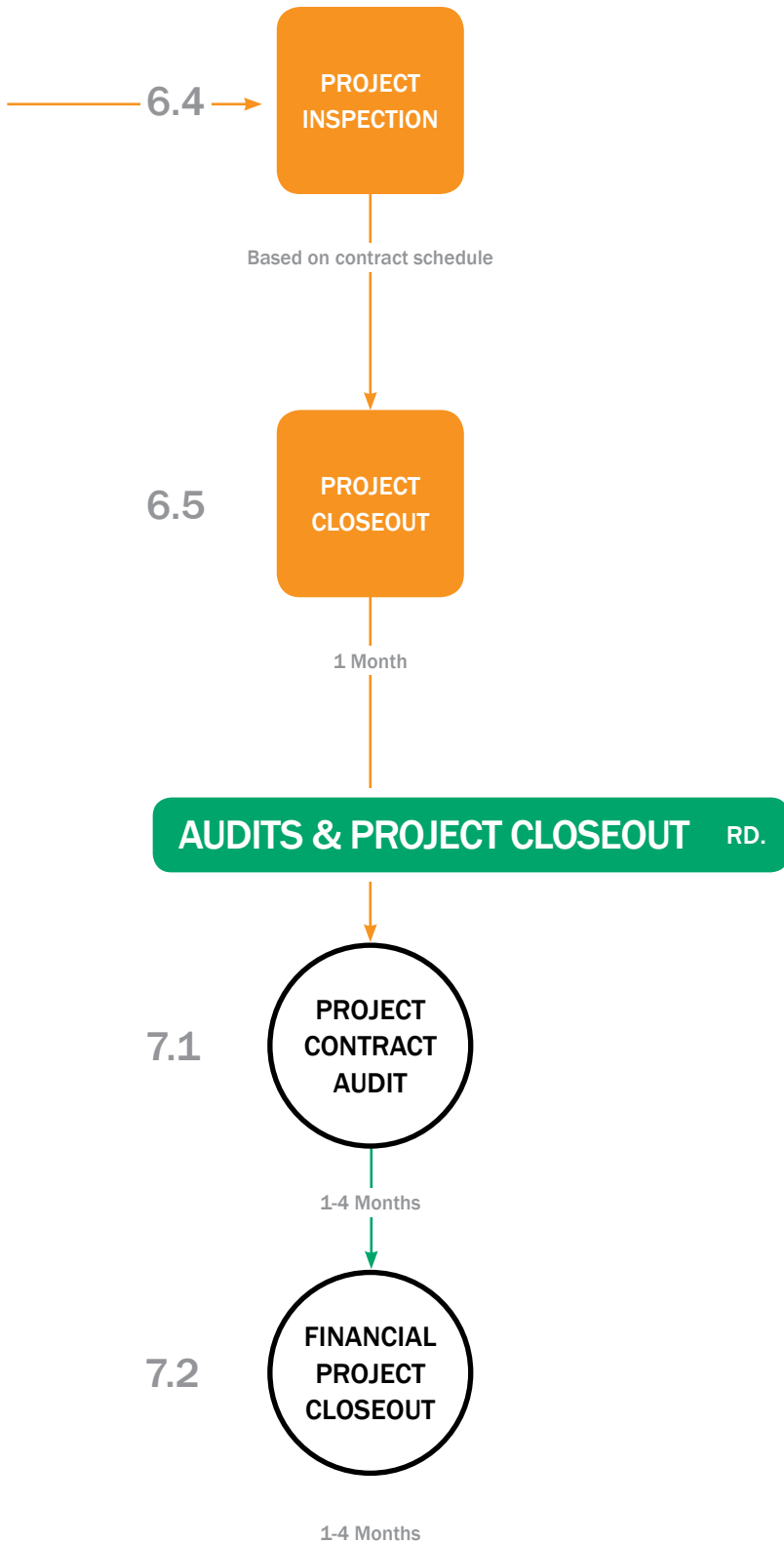
PLANNING & PROGRAMMING RD.











Conflict is an inevitable part of any decision making process. UDOT, the LGA, and the Consultant must work to avoid, manage, and resolve conflicts in order for the project process to succeed.

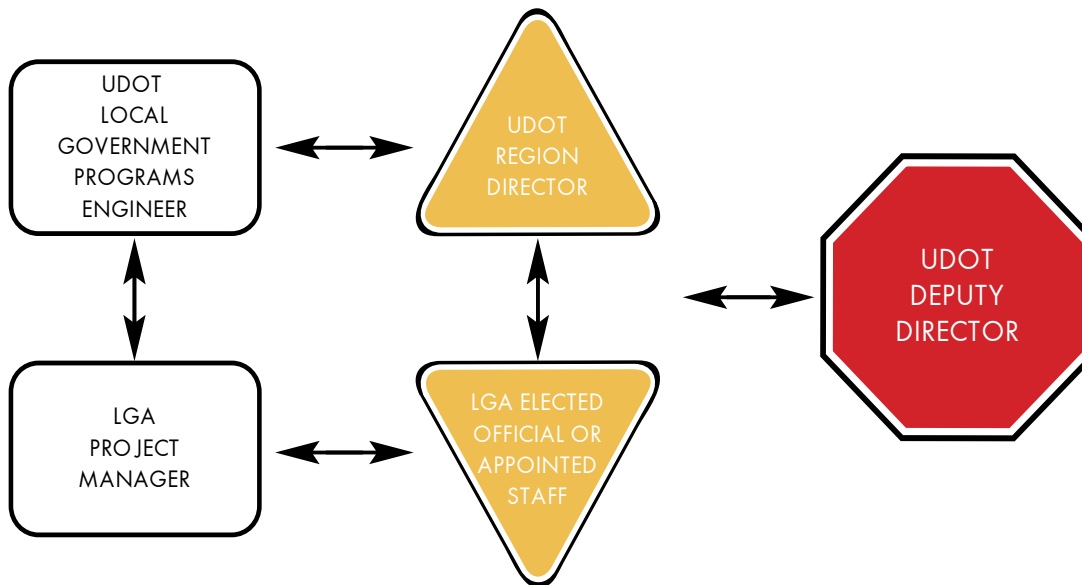
The UDOT Local Government Conflict Resolution Structure is a hierarchical process for resolving conflicts that cannot be resolved at the project level. For any phase of the project, the conflict resolution process starts at a technical level and escalates to an executive level.

At each conflict resolution level, both parties have one week to resolve the conflict. Either party may escalate the conflict to the next level if the parties are unable to resolve the conflict within one week. The highest conflict resolution authority has one week to make a formal decision regarding the conflict.

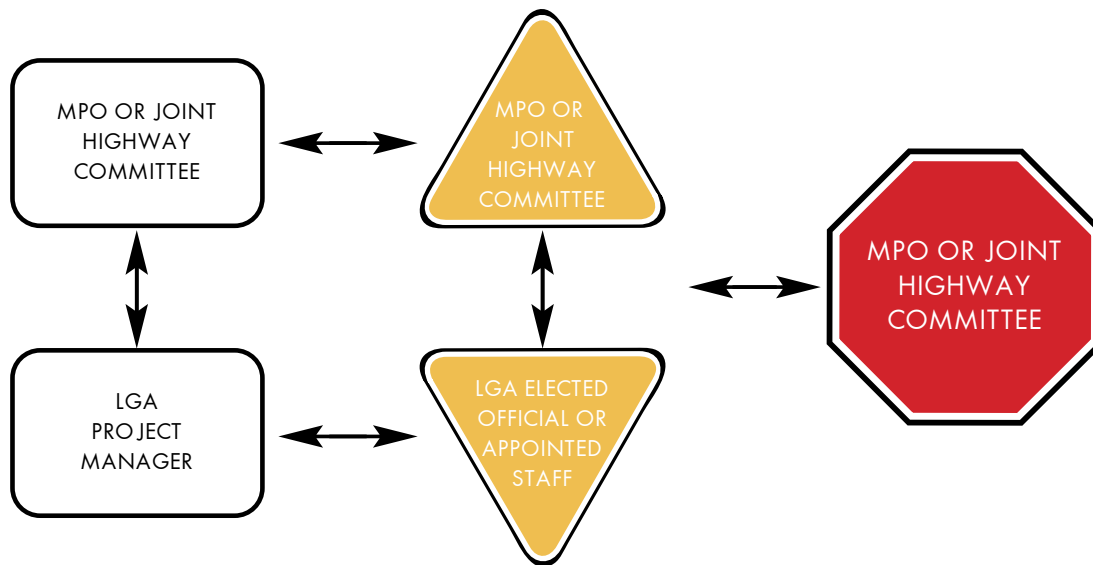
3.1 PLANNING AND PROGRAMMING PHASE

UDOT recognizes separate conflict resolution processes for Enhancement projects and Metropolitan Planning Organization (MPO) or Joint Highway Committee (JHC) projects as follows:

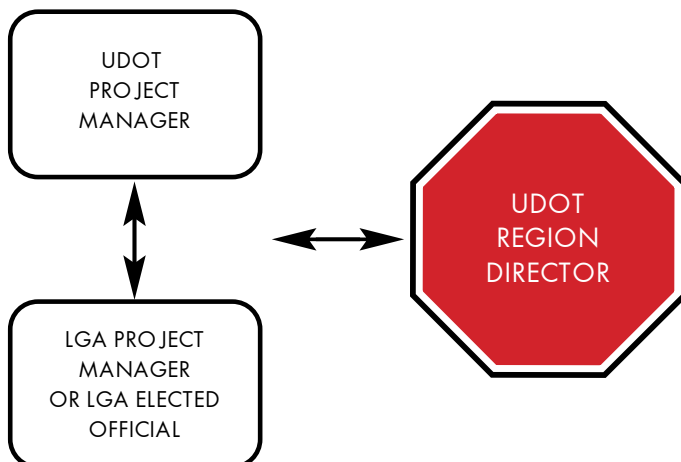
- ENHANCEMENT -



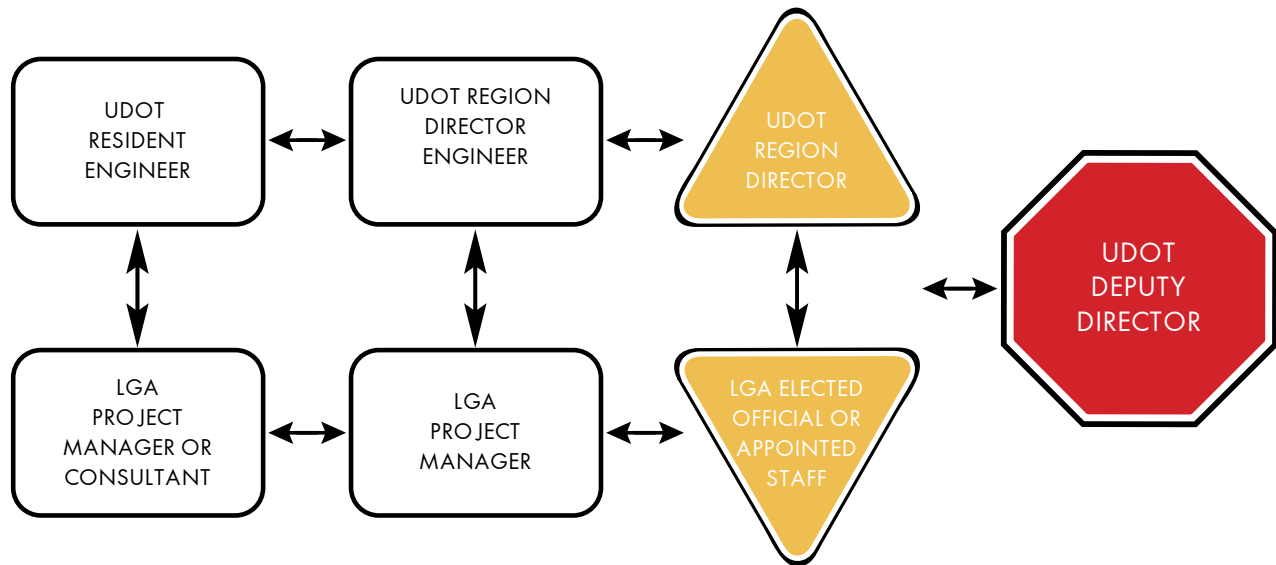
- METROPOLITAN PLANNING ORGANIZATION OR JOINT HIGHWAY COMMITTEE (DEPENDING ON FUNDING SOURCE) -



3.2 DESIGN PHASE



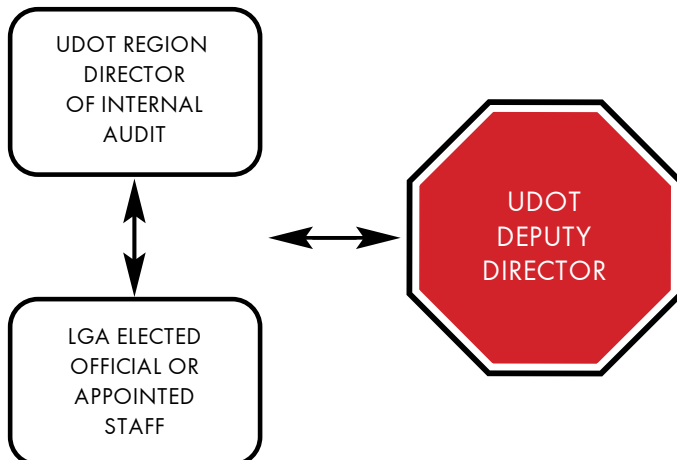
3.3 CONSTRUCTION PHASE



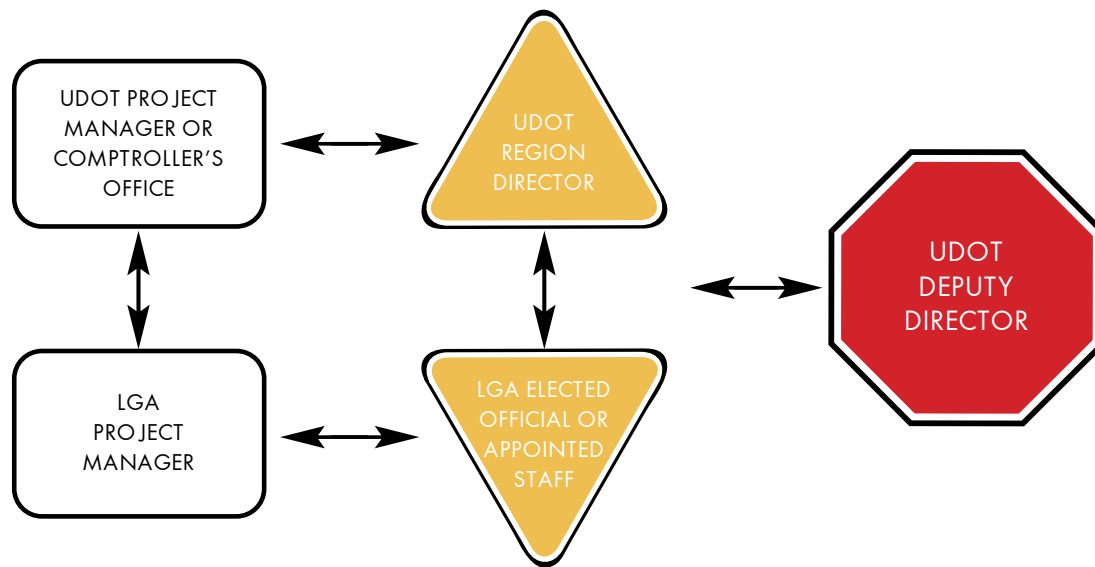
For additional information related to the UDOT Partner in Field Guide (Chapter 6) Conflict Resolution Process.

3.4 FINANCIAL AUDIT AND PROJECT CLOSEOUT PHASE

- FINANCIAL AUDIT -



- FINANCIAL PROJECT CLOSEOUT -



4.1 LOCAL GOVERNMENT INTRODUCTION TO FEDERAL AND STATE AID

- GENERAL RESPONSIBILITIES -

Local Government Agency (LGA)

LGAs carry out planning and programming activities through scheduling improvements and maintenance activities for local streets and roads. The LGA applies for funds through the appropriate programming authority when they need Federal or state assistance.

When applying for Federal or state aid, make every effort to identify the total cost of the project, including but not limited to design, right-of-way, utilities, construction management, project construction, and contingency. A concept estimate spreadsheet is available on the UDOT web site to aid in this process: www.udot.utah.gov/index.php/m=c/tid=721.

Utah Department of Transportation

FHWA has authorized UDOT to provide oversight on all local projects using Federal Aid. The UDOT Systems Planning and Programming Group supports UDOT's overall effort to plan, construct, and maintain the state highway system in the following four key areas:

1) Monitor Transportation System Conditions

This effort includes the activities to maintain an inventory of Utah's transportation system and monitor the physical conditions, the use, and the safety of that system. This work involves measurement, analysis, and reporting of some of the key attributes of Utah's transportation system.

2) Identify Transportation Needs

This effort includes the activities to evaluate system needs, which UDOT addresses in planning and programming. UDOT compares current and projected conditions to desired conditions or system performance goals to determine preservation and development priorities. The difference in conditions identifies needs. UDOT bases goals on public input, technical analysis, and financial feasibility. Once UDOT identifies overall needs, it considers the tradeoffs between preservation activities, improvements designed to reduce congestion, mitigation of safety hazards, and other objectives.

3) Establish Transportation Plans

This effort includes preparing plans that describe how to address the identified transportation needs. UDOT intends for these plans to set the goals for development of, and identify specific implementation actions for, the specific transportation needs. These plans guide UDOT Regions in selecting projects for inclusion in a work plan referred to as the Statewide Transportation Improvement Program (STIP).

4) Determine Program and Project Schedule

UDOT applies financial constraints to prioritized projects that match Utah's plans. Once UDOT establishes the plans, the programming process seeks to find the optimal mix of funding for prioritized project needs.

Programming is the process through which funds are committed to STIP projects. The selection of projects is constrained to those on the Long-Range Plan and by the availability of funds for each project type.

UDOT also considers the balance between non-traditional projects, project timing, additional factors beyond a project's ranking, and the limitations of Federal Aid.

For additional information on the UDOT Systems Planning and Programming Group, refer to the following UDOT web site link: www.udot.utah.gov/index.php/m=c/tid=53. To obtain additional information, contact the UDOT Systems Planning and Programming Group.

Federal Government

The Federal Government reviews the planning and project activities of MPOs and state DOTs. The Federal Government also provides advice and training on transportation topics ranging from pavement technology to design to efficient operations of highway and transit systems. The Federal Government also supplies critical funding needed for transportation planning and projects. At least every two years, the Federal Government approves projects planned for construction by the state and other state agencies using Federal funds.

- STATUTE AUTHORIZATION OF FEDERAL TRANSPORTATION BILL -

On August 10, 2005, President George W. Bush signed the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). SAFETEA-LU authorizes the Federal surface transportation programs for highways, highway safety, and transit for the 5-year period 2005-2009. The Federal Fiscal Year is October 1, to September 30. This Bill covers the Federal Fiscal Years beginning October 1, 2004 and ending September 30, 2009. The State of Utah Fiscal Year is July 1, to June 30.

SAFETEA-LU addresses the many challenges facing our transportation system today – challenges such as improving safety, reducing traffic congestion, improving efficiency in freight movement, increasing intermodal connectivity, and protecting the environment – as well as laying the groundwork for addressing future challenges. SAFETEA-LU promotes more efficient and effective Federal surface transportation programs by focusing on transportation issues of national significance while giving state and local transportation decision makers more flexibility for solving transportation problems in their communities.

- STATE STATUTE REQUIREMENTS AND LIMITATIONS REGARDING LGAs -

Refer to State Code Titles 72, 10, and 17 and Administrative Rules R916-1 Advertising & Awarding Construction Contracts and R930-2 Public Hearings. To view the State Code, refer to the following link: www.le.state.ut.us/~code/code.htm. To view the Administrative Rules, refer to the following link: www.rules.utah.gov/publicat/code.htm#Transporta.

- STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM (STIP) -

Purpose

The STIP is a six-year plan of state and local highway and transit projects for the State of Utah. The STIP is updated and published annually and is also available on the UDOT website. The STIP includes transportation projects on state, city, and county highway systems as well as projects in national parks, national forests, and on Indian Reservations. These projects use various Federal and state funding programs.

The Statewide Transportation Planning Process provides a coordinated, multi-modal plan for improvements and improvement strategies to the State's Transportation System for the next 20 years. The plan is financially constrained by year and includes sufficient financial information to determine which projects and strategies can be implemented using projected revenues. The plan also addresses needed projects that are not scheduled for construction because funding will not be available under the projected funding levels.

The STIP serves two basic purposes. First, it documents Utah's compliance with the requirements of SAFETEA-LU. SAFETEA-LU authorizes the Federal surface transportation programs for highways, highway safety, and transit for a four-year period.

It is the basis for approval of Federal Aid highway and transit funds by FHWA and the Federal Transit Administration (FTA).

Second, the STIP is UDOT's official work plan for the development of projects through conception, environmental studies, right-of-way acquisition, planning, and advertising for construction. To view or download the current STIP from the UDOT web site, refer to the following link: www.udot.utah.gov to otherwise obtain this document, contact the UDOT STIP Coordinator.

Operation

The following is a general overview of the primary UDOT STIP process activities. For specifics related to both UDOT and Metropolitan Planning Organization (MPO) STIP process activities, refer to the UDOT STIP Development Process Manual.

To view or download this document or the corresponding STIP development process timeline from the UDOT web site, refer to the following link: www.dot.state.ut.us/index.php/m=c/tid=551. To otherwise obtain these documents, contact the UDOT STIP Coordinator.

1) UDOT Public Meetings

UDOT conducts a series of regional public meetings between August 1 and October 15 of each year to gather comments, ideas, and concerns from the public and local elected officials regarding transportation related issues. In larger urbanized areas, UDOT generally holds these meetings jointly with MPOs. UDOT compiles and reviews all public comments between October 16 and October 31.

2) UDOT Region and Headquarter Input

Between September 1 and January 31, UDOT Regions incorporate additional information to assist in the decision making process, conduct field reviews to confirm and refine project issues, hold Region workshops, and develop a draft Region Transportation Improvement Program (TIP).

3) Public Lands Highway Projects

UDOT holds an annual meeting with FHWA Central Federal Lands between February 1 and March 31 to establish a list of public lands highway projects for the STIP. This list includes Public Lands, National Parks, and National Forest road projects. UDOT presents the list of selected projects to the Utah Transportation Commission (UTC) in mid-February and an approved list is added to the STIP.

4) UDOT Fiscal Analysis

During the month of February, UDOT compiles projections of the available Federal funds based on the most recent appropriations and obligation authority applicable to Utah. The analysis includes a summary of funds available for programming new Federal and state construction projects, including funds for right-of-way and engineering.

5) Compilation of Legislative Comments

During the second half of February, UDOT reviews Legislative comments and modifies the draft Region TIP as appropriate.

6) Local Government Annual Visits

Between February 15 and May 31, UDOT holds meetings with local city and county officials to discuss Federal and state funding programs, program process elements, and related coordination and activity items.

7) JHC Transportation Improvement Program Projects

Between April 1 and May 15, the Joint Highway Committee (JHC) develops LGA Federal Aid projects and furnishes UDOT with a non-urban TIP, a small urban area TIP, a bridge replacement TIP, and a state park access road TIP sorted by UDOT Region.

8) Utah Transportation Commission (UTC) Workshop

On April 16, the UTC meets with UDOT to develop funding strategies and identify and prioritize projects for both the funded STIP years (years one through three) and the concept STIP years (years four and five).

9) UDOT and MPO Project Recommendations

On May 1, UDOT and MPOs coordinate their recommended project lists.

10) Prepare Draft STIP for Public Comment

On June 1, UDOT develops a Draft STIP incorporating all previous input and UTC recommendations. UDOT publishes and distributes this document to the public for comment on June 15.

11) STIP Revisions

UDOT collects, compiles, evaluates, and distributes comments to appropriate UDOT staff and to the UTC. UDOT makes appropriate revisions to the Draft STIP based on comments from staff and the UTC and produces a Final Draft STIP. Modifications to the STIP received each year by the UTC after August 1, become STIP Amendments.

12) STIP Approval

UDOT submits the Final Draft STIP along with modifications and a copy of all comments to the UTC for approval. On August 30, the UTC reviews the Final Draft STIP for compliance with previous recommendations, instructions, and available funds. UTC considers public comments and modifications and gives approval. The UTC may issue approval of the STIP despite deleting individual projects during its final review.

Once the UTC has given its approval of the STIP, UDOT submits the STIP, along with supporting documents, project maps, certifications, and resolutions to FHWA and FTA for approval. FHWA and FTA have from September 1, through September 30, to review the STIP and provide comments to UDOT. FHWA and FTA approve the STIP with a joint signature letter by October 1.

13) UDOT Project Setup

Following STIP approval, publishing, and distribution to each UDOT Region, the Program Manager (the Senior Project Manager) assigns a Project Manager to each Local Government project to oversee coordination efforts with the LGA.

By October 31, the Program Manager notifies the UDOT Project Managers of their specific UDOT Project Management responsibilities using the UDOT Local Government Project Notification form. The Local Government Project Notification form accompanies the LGA's project application package, referred to as the Local Government Project Concept Report.

Upon receipt of the Local Government Project Notification and review of the Local Government Project Concept Report, the UDOT Project Manager contacts the LGA by November 15. The UDOT Project Manager notifies the LGA of the project status and schedules a Local Government Project Orientation Meeting. The UDOT Project Manager enters the project into the Electronic Program Management (ePM) system.



Work on a Local Government project can begin as soon as the project comes into a funded year. UDOT expects LGAs to complete Local Government projects by the end of each project's STIP programming year.

- UTAH TRANSPORTATION COMMISSION (UTC) -

The UTC is a governor appointed independent advisory committee consisting of seven members. The UTC meets monthly. Primary responsibilities of the UTC include:

- Determine priorities and funding levels of projects in the state transportation systems for each fiscal year based on project lists compiled by UDOT
- Determine additions and deletions to state highways
- Hold public hearings and otherwise provide for public input in transportation matters
- Advise UDOT in state transportation systems policy
- Review, at least annually, the short-term and long-range public transit plans
- Review administrative rules made, amended, or repealed by UDOT

- ADDITIONAL PROGRAMMING INFORMATION -

Flexible Match

Flexible match allows a variety of public and private contributions to be counted toward the non-Federal match for Federal-aid projects. It is necessary to identify candidate Federal-aid projects for flexible match at the time of project application. The candidate project requires evaluation of the total project funding for determination of flexible match feasibility. The Local Government Programs Engineer must pre-approve flexible match prior to PE authorization. For Flexible Match Guidelines and Application Form go to www.udot.utah.gov/go/csforms.

Contingency

UDOT requires a minimum contingency amount of 20 percent on all Federal Aid LGA projects at the time of project advertisement.

Master Planning

Master planning is a key element in the community planning and programming process. The programming authorities require that proposed LGA projects originate from existing community and programming authority master plans.

Master plans provide a policy basis for local transportation funding and prioritize projects and programs that the LGA relies on to provide future transportation services. Master plans look at projects and programs within the context of broader community goals.

Priority Selection

The JHC, MPOs, and Enhancement Advisory Committee (EAC) set priorities for the selection and funding of LGA projects.

- UDOT PLANNING DIVISION SERVICES -

The UDOT Planning Division of the UDOT Systems Planning and Programming Group provides the following planning services to LGAs:

- Development of community master plans
- Completion of corridor studies on state highway segments where the LGA or UDOT needs additional information to make decisions or prioritize future projects
- Emerging Area Plans: Working with a prioritization process to identify areas of the State predicted to experience rapid growth, the Planning Division works with communities and entities within a region to develop a Transportation Master Plan for the region.
- Future Traffic Forecasts on State routes
- Environmental impact screening tools to evaluate environmental impacts associated with roadway projects.
- Travelwise consultation for LGA's to evaluate and recommend methods and opportunities to develop commuter options such as vanpools, carpools, telework and other methods to support economic growth.
- Freight Planning to address issues associated with freight movement and identify potential solutions.
- Bicycle and Pedestrian planning.
- Long Range Plan development where projects are identified, adopted in the Long Range Plan and then available to be selected to bring forward into the Statewide Transportation Improvement Program (STIP).

Contact the UDOT Planning Engineer for additional information.

4.2 JOINT HIGHWAY COMMITTEE (JHC)

- INTRODUCTION -

The JHC is a 30-member committee with 15 members selected by the Utah Association of Counties and 15 selected by the Utah League of Cities and Towns.

The JHC has the opportunity and responsibility to recommend project priorities to the UTC each year for Federal small-urban, non-urban and off-system bridge funds. They also recommend priorities for the State Park Access Program.

The JHC also has the responsibility to advise the UTC on Local Government transportation issues in the State of Utah. The JHC's primary focus is on areas of the state outside of the currently designated MPO planning area.

The JHC also oversees the selection of locally owned bridge replacement projects statewide and possible funding of non-urban road projects located within an MPO planning area but outside of its urban boundary.

LGAs propose projects to the JHC sub-committees through oral presentations. The selection process includes an evaluation of current and projected traffic volumes, remaining service life of the existing roadway or projected life of the new proposed road, safety issues (including accidents and fatalities), project cost and time frame, and an indication that the project is part of a community long range transportation plan. The sub-committee submits its selected projects to the full JHC for approval at the April semi-annual meeting. A recommended list of projects is then submitted to the UTC for their approval.

- FUNDS -

JHC STP Non-Urban Funds (NURB)

1) Eligibility

Eligible roads must be:

- Classified as Major Collector or above
- Located outside MPO urban boundaries

To view or download the Rural Functional Classification Maps by County from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=1226. To otherwise obtain this map, contact the Statewide Systems Planner.

2) Required Minimum Match

The required LGA minimum match is 6.77 percent.

3) Maximum Federal Aid

The maximum amount of Federal Aid per project is \$2,000,000.

4) Opportunity to Combine Funds

UDOT encourages the LGA to combine funds where applicable.

5) How to Apply

Forms: To obtain application forms, contact the UDOT Local Government Programs Engineer

Deadline: The application deadline is the second Wednesday of every January

Notification of Selection or Rejection: UDOT notifies the LGA by letter of selection or rejection

6) Overruns and Unexpected Costs

All cost overruns and unexpected costs are the responsibility of the LGA



JHC Highway Bridge Program Funds (HBP)

1) Eligibility

Eligible bridges must have a sufficiency rating less than 80 to qualify for rehabilitation. To qualify for replacement, the sufficiency rating must be less than 50 with a deck, super, or sub condition rating of four or less.

2) Required Minimum Match

The required LGA minimum match is 20 percent.

3) Maximum Federal Aid

The maximum amount of Federal Aid per project is \$2,000,000.

4) Opportunity to Combine Funds

There is limited opportunity to combine funds.

5) How to Apply

Forms: To obtain application forms, contact the UDOT Local Government Programs Engineer (801-965-4366). Note: All structure projects must meet UDOT's Structural Design & Detailing Standard.

Deadline: The application deadline is January.

Notification of Selection or Rejection: UDOT notifies the LGA by letter of selection or rejection

6) Overruns and Unexpected Costs

All cost overruns and unexpected costs are the responsibility of the LGA.

JHC STP Small Urban Funds (SMURB)

1) Eligibility

Eligible road must be:

- Major Collector or above
- Within a designated small urban city (population between 5,000 and 50,000)
- Outside the current MPO boundaries

To view or download the Small Urban Functional Classification Maps from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=1227. To otherwise obtain this map, contact the Statewide Systems Planner.

2) Required Minimum Match

The required LGA minimum match is 6.77 percent.

3) Maximum Federal Aid

The maximum amount of Federal Aid per project is \$1,000,000.

4) Opportunity to Combine Funds

UDOT encourages the LGA to combine funds where applicable.

5) How to Apply

Forms: To obtain application forms, contact the UDOT Local Government Programs Engineer

Deadline: The application deadline is January.

Notification of Selection or Rejection: UDOT notifies the LGA by letter of selection or rejection

6) Overruns and Unexpected Costs

All cost overruns and unexpected costs are the responsibility of the LGA.

JHC State Park Access Funds (SPA)

LGAs that have jurisdiction over specific roads leading to State Parks may apply to the JHC for State Park Access funds. The LGA may use these funds to make necessary improvements and repairs to these roads.

1) Eligibility

Utah Code sections 72-3-201 to 72-3-206 list the roads that are eligible for this program.

2) Required Minimum Match

The required LGA minimum match is 50 percent. Flexible match, wherein a sponsor provides engineering services, materials, equipment or labor in lieu of a cash match, may be allowed. The LGA must provide full documentation of the market value of the flexible match. UDOT must pre-approve the flexible match before the LGA utilizes services or materials in the project.

3) Maximum State Aid

The maximum amount of State Aid per project is \$500,000.

4) Opportunity to Combine Funds

The LGA may combine SPA funds with Federal funds. In this situation, the project is subject to all Federal requirements.

5) How to Apply

Forms: The application includes a Cover Letter and Concept Report from the LGA. The Cover Letter and Concept Report include:

- Brief description of the proposed project
- Project plan view
- Typical cross-section
- Proposed project schedule with cash flow
- Preliminary Engineer's Estimate including a line item for a minimum 10 percent contingency

Deadline: The LGA applies for funds through a sub-committee of the JHC known as the Non-Urban, Bridge, and State Parks Access Committee. The application deadline is the second Wednesday of every January.

Notification of Selection or Rejection: UDOT notifies the LGA by letter of selection or rejection

6) Overruns and Unexpected Costs

All cost overruns and unexpected costs are the responsibility of the LGA.

4.3 METROPOLITAN PLANNING ORGANIZATION (MPO)

- INTRODUCTION -

Urban areas with populations over 50,000 must have a MPO. The MPO, in agreements with the state and other transportation providers, carries out the metropolitan transportation planning process, which includes development of a 20-year transportation plan and a TIP. There are currently four MPOs in Utah.

Cache Metropolitan Planning Organization (CMPO)

CMPO is the MPO for the Logan Urban area covering Smithfield, Hyde Park, North Logan, Logan, River Heights, Providence, Millville, and portions of Nibley and Cache County. MPO membership consists of locally elected officials of the cities in Cache County within the urbanized area. To access the CMPO website, refer to the following link: www.cmpo.info. To otherwise obtain information, contact CMPO, 435-716-7154.

Mountainland Association of Governments (MAG)

MAG is the MPO for the Provo and Orem urban area. To access the MAG website, refer to the following link: www.mountainland.org. To otherwise obtain information, contact MAG, 801-229-3800.

Wasatch Front Regional Council (WFRC)

WFRC is the MPO for the Salt Lake City and Ogden urban areas. To access the WFRC website, refer to the following link: www.wfrc.org. To otherwise obtain information, contact WFRC, Salt Lake 801-363-4250 and Ogden 801-773-5559.

Dixie Metropolitan Planning Organization (DMPO)

The DMPO is the MPO for the St. George urban area. To access the DMPO website, refer to the following link: www.dixiempo.org. To otherwise obtain information, contact DMPO, 435-673-3548.

- FUNDS -

MPOs manage Congestion Mitigation and Air Quality Improvement Program (CMAQ) and STP Urban funds. As a funding and programming authority, they have administrative authority to request changes on the STIP for their projects from the Transportation Commission.

MPO Congestion Mitigation/Air Quality (CMAQ) Funds

CMAQ provides funding for projects that reduce traffic congestion and improve air quality in non-attainment areas. Examples of CMAQ projects include signal coordination, park and ride lots, ridesharing, bus service expansion, and alternative transportation modes, which include bicycle and pedestrian facilities.

1) Eligibility

Eligible projects must:

- Contribute to the attainment of air quality standards by reducing emissions in the region
- Not increase capacity for single occupancy vehicles
- Be within a designated urban area (population greater than 50,000)
- Be located inside MPO urban boundaries

Projects in the State Implementation Plan for clean air attainment receive priority.

2) Required Minimum Match

The required LGA minimum match is 6.77 percent.

3) Maximum Federal Aid

There are no limits to the maximum amount of Federal Aid per project.

4) Opportunity to Combine Funds

There is limited opportunity to combine funds.

5) How to Apply

For information regarding the application process, contact the MPO.

6) Overruns and Unexpected Costs

All cost overruns and unexpected costs are the responsibility of the LGA.

MPO STP Urban Funds

These funds are for transportation facility improvements ranging from rehabilitation of existing facilities to new construction. They may also be used for transit capital improvements and ridesharing promotion.

1) Eligibility

Eligible roads must be:

- Consistent with long range and short range elements of Transportation Plan, except for minor projects
- Functionally classified as a collector or higher
- Within a designated urban area (population greater than 50,000)
- Located inside MPO urban boundaries

To view or download the Urban Area Functional Classification Maps from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=1228. To otherwise obtain this map, contact the Statewide Systems Planner.

2) Required Minimum Match

The required LGA minimum match is 6.77 percent.

3) Maximum Federal Aid

There are no limits to the maximum amount of Federal Aid per project.

4) Opportunity to Combine Funds

There is limited opportunity to combine funds.

5) How to Apply

For information regarding the application process, contact the MPO.

6) Overruns and Unexpected Costs

All cost overruns and unexpected costs are the responsibility of the LGA.

4.4 TRANSPORTATION ENHANCEMENT FUNDS

- INTRODUCTION -

This fund can expand travel choices and enhance the transportation experience by improving the cultural, historic, aesthetic, and environmental aspects of our transportation infrastructure. This fund is the most flexible and complex of all federal programs. These funds are available statewide to every community regardless of population or location through a competitive application process. This fund can be combined with all of the other federal transportation programs and pay for eligible categories listed here to improve a project's function.

For resources and additional information on what is happening in communities nationwide, refer to the following link: www.enhancements.org. For information regarding the Utah Enhancement program, refer to the following link: www2.udot.utah.gov/index.php?m=c&tid=192. To other-wise obtain this information, contact the UDOT Local Government Programs Engineer.

- ELIGIBILITY -

Each project application must be a whole and functional project that can stand alone if no further funding becomes available. For phased projects, the LGA must submit separate applications for each project phase. The EAC may fund multiple project phases or elect to combine separate projects as one larger project where there are compelling benefits. Applications must include one or more of the following twelve eligible activities and relate to surface transportation:

Pedestrian and Bicycle Facilities

Example activities include sidewalks, walkways or curb ramps, bike lane striping, shoulder improvements for designated pedestrian and bike lanes, bike parking and bus racks, road separated trailways, bridges, and underpasses. All trailway projects proposed to the EAC must accommodate both pedestrians and bicycles in their application concept.

Pedestrian and Bicycle Safety and Educational Activities

Example activities include campaigns promoting safety awareness, safety training activities and classes, and training materials.

Acquisition of Scenic or Historic Easements and Sites

Example activities include acquisition of scenic lands or easements, purchase of historic properties, or buildings in historic districts including historic battlefields.

Scenic or Historic Highway Programs Including Tourist and Welcome Centers

Example activities include construction of turnouts, overlooks, visitor centers, viewing areas, designation signs, and markers.

Landscaping and Scenic Beautification

Example activities include improvements such as street furniture, lighting, public art, and landscaping along travel corridors.

Historic Preservation

Example activities include preservation of buildings and facades in historic districts, restoration of historic buildings for transportation-related purposes, and access improvements to historic sites.

Rehabilitation and Operation of Historic Transportation Buildings, Structures, or Facilities

Example activities include restoration of railroad depots, bus stations, lighthouses, rehabilitation of rail trestles, tunnels, bridges, and canals.

Conversion of Abandoned Railway Corridors to Trails

Example activities include acquisition of railroad right-of-way, planning, design, and construction of multi-use trails and rail-with-trail projects.

Inventory, Control, and Removal of Outdoor Advertising

Example activities include billboard inventories and removal of illegal and nonconforming billboards.

Archaeological Planning and Research

Example activities include research, preservation planning and interpretation, developing interpretive signs, exhibits and guides, inventories, and surveys.

Environmental Mitigation of Run-off Pollution and Provision of Wildlife Connectivity

Example activities include run-off pollution studies, soil erosion controls, detention and sediment basins, river clean-ups, and wildlife underpasses.

Establishment of Transportation Museums

Example activities include conversion of railroad stations or historic properties into museums with transportation themes, construction of new museums, and the purchase of exhibit materials.

- APPLICATION FOR ENHANCEMENT FUNDS -

To view or obtain application forms and associated application requirements, refer to the following link:
www.udot.utah.gov/index.php?m=c&tid=192.

Applications are typically due at UDOT every January. Applicants may be required to file their intent for application by November for a proposal number and allow time to schedule a preliminary concept review for eligibility, recommendations, and risk mitigation.

- PROJECT SELECTION VIA THE ENHANCEMENT ADVISORY COMMITTEE (EAC) -

Selection of projects is a competitive process carried out on an annual basis with a total number limited to available annual funding. The Utah EAC consists of citizens and UDOT personnel statewide that possess expertise in transportation planning, engineering, economic development, and landscaping. The committee provides a detailed evaluation of the submitted applications to provide recommendations to the UTC for funding approval. The UTC makes the final determination regarding which projects to fund. These projects are included in the STIP.

- UDOT REGION DIRECTOR ENHANCEMENT FUNDS -



UDOT grants each UDOT Region Director Enhancement Funds for use on the state highway system within their regions. The state provides the matching funds. The LGA is encouraged to contact their Region Director to recommend eligible enhancement features on state highways in their communities.

- FUNDING STRUCTURE FOR ENHANCEMENT PROJECTS -

Each project application may request as much as \$500,000 in Federal Aid matched at the typical 20% or \$1 for every \$4 of Federal Aid. Additionally, \$250,000 of Federal Aid may be requested at 50% match or \$1 for every \$1 of Federal Aid.

Application sponsors may be limited or excluded in their request for Federal Aid depending on:

1. The total Federal Aid spent in a transportation corridor or community area
2. If the sponsor has a current project on the STIP and that the project is not progressing according to schedule.

- COMBINING SEPARATE PROJECTS, PHASES OR FUNDS -

UDOT encourages LGAs to combine Enhancement projects with larger roadway projects or other Federal Aid programs with complementary goals. UDOT encourages LGAs to work with their respective MPO, where applicable, or the UDOT Region Director in addressing questions related to combining project phases or funding sources.

- REASONABLE PROGRESS SCHEDULE POLICY -

UDOT expects the LGA to advertise all Transportation Enhancement projects within two years from the time the Federal funds become available typically every October first. The LGA must disclose any exceptions in the initial application.

In situations where a project is unable to meet its schedule at any phase, the LGA may request approval of a project re-schedule. The LGA provides written justification to UDOT for the delay including:

- Project status
- Current phase of project implementation
- Funds obligated and spent on the project

When a project falls 12 months behind the currently approved schedule, UDOT may implement one of the following options:

- Reprogram the Project in the STIP from a funded year to a concept development year
- Recommend a change of scope or funding
- Hold funding approval of the LGA's future Federal Aid projects pending re-establishment of timely progress on the project



If the LGA is non-responsive to implement a recovery plan and schedule at any phase, UDOT may recommend to the UTC removal of the project from the STIP. This action may require the LGA to repay any Federal funds spent on the project. UDOT will require repayment of these funds prior to the programming of any future project.

4.5 SAFETY FUNDS

- ROADWAY SAFETY IMPROVEMENT (RSI) PROGRAM -

The Roadway Safety Improvement (RSI) program implements the FHWA Highway Safety Improvement Program. The overall objectives of the RSI program include reducing the number of crashes, reducing the severity of crashes, decreasing the potential for crashes, and making the most efficient use of available safety funds.

UDOT accomplishes these objectives by identifying high crash locations and developing a program of roadway safety improvement projects for those locations. The UDOT Traffic and Safety Division maintains a three-year program of statewide RSI projects in the STIP.

A project must meet the following requirements to qualify for RSI program funds:

- The location has a correctable crash history
- The proposed improvement will reduce crashes at or near the location
- The benefit/cost ratio of the project is greater than one (the higher the better)
- The location is on a public road in Utah
- A local match of 6.77 percent

For a detailed description of the RSI program guidelines and requirements, refer to the following UDOT web site link: www.udot.utah.gov/index.php/m=c/tid=1084. To otherwise obtain information related to the RSI program, contact the UDOT Safety Programs Engineer.

- RURAL RUN-OFF ROAD MITIGATION PROGRAM -

The Utah Comprehensive Safety Plan identifies Run-off Road (ROR) crashes as an emphasis area. ROR crashes account for almost 50 percent of all traffic fatalities statewide. A disproportionate number of these fatalities occur in rural areas.

UDOT established the Rural ROR Mitigation program to implement low-cost safety improvements aimed at mitigating rural ROR crashes. The main emphasis is on regulatory and warning signing and roadway delineation. Other types of signs may be considered but this program is not intended to be a sign replacement program. A local match of 6.77 percent is required.

Rural counties and cities interested in participating in the program can contact the UDOT Safety Programs Engineer.

- SAFE SIDEWALK PROGRAM -

The Safe Sidewalk Program provides funding for construction of new sidewalks on state routes where sidewalks do not currently exist. The program enables sidewalk installation in locations where UDOT expects no route construction or reconstruction for 10 or more years.

UDOT policy considers adding sidewalks on all UDOT projects where pedestrian traffic is significant. For UDOT to consider a proposed sidewalk location for the Safe Sidewalk Program it must meet the following criteria:

- Located on a state route
- Located in an urban area or in an area that is urban in nature
- Has significant pedestrian traffic
- Requires a 25 percent LGA match (cash or right-of-way)

For additional information regarding the Safe Sidewalk Program, refer to the following UDOT web site. To otherwise obtain Safe Sidewalk Program information, contact the UDOT Pedestrian Safety Engineer.

- SAFE ROUTES TO SCHOOL -

SAFETEA-LU established Safe Routes to School as a new program and funding source. The purpose of this program is to increase safety for children walking and biking to school. Increasing safety in this area will encourage more children to walk and bike to school, which has inherent health benefits. LGAs can use Safe Routes to School funds for a variety of projects including infrastructure improvements, training, education, and enforcement campaigns.

For states to qualify for Safe Routes to School funds, Congress requires that they hire a full-time Safe Routes to School coordinator to administer the program. UDOT is in the process of securing and filling this position and further developing the program.

Once developed, the Safe Routes to School program description, as well as contact information for the State Safe Routes to School coordinator will be available on the UDOT web site.

- RAILROAD CROSSING FUND -

The Utah Legislature has charged the Department of Transportation to regulate and promote safety at all public highway/railroad crossings in the state. This includes state highways, county roads, city streets, and all other public accesses across rail lines. UDOT does not regulate private crossings, although they are maintained in the national inventory.

Maintenance around railroad crossings falls between the owner of the road and the owner of the tracks. The approach to within two feet of the tracks is the responsibility of the road owner. Everything within two feet of the tracks is the responsibility of the railroad owner.

If the road is a State Highway, then UDOT is responsible for maintenance of the railroad crossing; otherwise, the city or county is responsible.

There are several railroad companies operating within the state that own crossings, and are responsible for their maintenance. Contact the railroad company directly to make comments regarding crossing conditions. Call the UDOT Railroad & Utilities Engineer to file a complaint.

Each crossing has a unique DOT number issued to identify and track the status of crossings in the country. The number should be posted at or near each crossing. The number is a combination of six numbers and one letter, for example 254-454X. In any correspondence with UDOT or the railroads, identifying the crossing number will help in resolving your concerns quickly and efficiently.

To otherwise obtain information, contact the UDOT Chief Railroad Engineer.

4.6 NON-PROJECT SPECIFIC FUNDS

- CLASS B & C ROAD FUNDS -

Class B & C roads are public highways, roads, or streets maintained by and under the jurisdiction of a incorporated municipality that accommodate conventional two-wheel drive vehicles. Class B roads are county roads. Class C roads are city or town roads.

The Utah Legislature established this funding program for the Class B and C road system as a means of providing assistance to counties and incorporated municipalities for the improvement of roads and streets throughout the state.

These funds differ from ordinary local revenues in that they are subject to administrative direction by the State in accordance with legislative provision. UDOT is the administrative authority on behalf of the state.

To view or download the Class B & C Regulations document from the UDOT web site, refer to the following link: www.dot.state.ut.us/index.php/m=c/tid=134. To otherwise obtain these forms, contact the UDOT Class B & C Road Fund Engineer.

The B & C Regulations document designates the rules, procedures, and regulations that are acceptable to UDOT in the administration of funds for counties, cities, and towns provided for by the Utah Legislature.

- MINERAL LEASE FUNDS -

The state receives Mineral Lease Funds annually from leaseholds on Utah's Federal lands. The state distributes these funds on a quarterly basis using a formula that allocates funds to counties with significant mining activity on Federal lands. To view or download the current Mineral Lease Fund distributions from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=135. To obtain additional information, contact the UDOT Mineral Lease Fund Administrator.

- PUBLIC TRANSPORTATION -

UDOT administers the following Federal Transit Administration (FTA) programs related to public transit services statewide.

FTA Section 5310 – Transportation for Elderly Persons and Persons with Disabilities

The goal of the Section 5310 program is to improve mobility for elderly persons and persons with disabilities. Toward this goal, FTA provides financial assistance for transportation services planned, designed, and carried out to meet the special transportation needs of elderly individuals and individuals with disabilities in all areas—urbanized, small urban, and rural. The program requires coordination with other Federally-assisted programs and services in order to make the most efficient use of Federal resources.

The Federal share of eligible capital may not exceed 80 percent of the net cost of the program. The local share of eligible capital shall be no less than 20 percent of the net cost of the program.

Supporting new mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management is an eligible capital cost. Mobility management techniques may enhance transportation access

for populations beyond those served by one agency or organization within a community. Mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service.

To view or download information related to the Section 5310 program from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=625. To otherwise obtain information, contact the UDOT FTA Section 5310 Specialized Program Manager.

FTA Section 5311 Rural Public Transportation

This program (49 U.S.C. 5311) provides formula funding to states for the purpose of supporting public transportation in areas of less than 50,000 populations.

The goals of the nonurbanized formula program are: 1) to enhance the access of people in nonurbanized areas to health care, shopping, education, employment, public services, and recreation; 2) to assist in the maintenance, development, improvement, and use of public transportation systems in rural and small urban areas; 3) to encourage and facilitate the most efficient use of all Federal funds used to provide passenger transportation in nonurbanized areas through the coordination of programs and services; 4) to assist in the development and support of intercity bus transportation; and 5) to provide for the participation of private transportation providers in nonurbanized transportation to the maximum extent feasible.

FTA defines eligible service areas for the nonurbanized (rural) program as those areas outside urbanized areas. Public transportation is defined as transportation by a conveyance that provides regular and continuing, general or special transportation to the public, but does not include school bus, charter, sightseeing transportation or intercity. Funds for the Section 5311 Program are available for administration, operating, planning, marketing and capital expenses to support the provision of rural transportation services.

Capital and Project Administration. The Federal share of eligible capital and project administrative expenses may not exceed 80 percent of the net cost of the project.

Operating Expenses. With respect to operating expenses, the Federal share shall not exceed 50 percent of the net operating cost of the project

To view or download information related to the Section 5311 program from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=626. To otherwise obtain information, contact the UDOT FTA Section 5311 Rural Public Transit Program Manager.

FTA Section 5316 Job Access and Reverse Commute Program (JARC)

The JARC program provides formula funding to states to support the development and maintenance of job access and/or reverse commute projects designed to transport welfare recipients and eligible low income individuals to and from jobs and activities related to their employment. These grant funds are intended to provide capital and operating assistance within small urban areas (communities between 50,000 and 200,000 population) and non-urbanized areas (rural populations less than 50,000).

The goal of the JARC program is to improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals and to transport residents of urbanized areas and non-urbanized areas to suburban employment opportunities. Toward this goal, the Federal Transit Administration (FTA) provides financial assistance for transportation services planned, designed, and carried out to meet the transportation needs of eligible low-income individuals, and of reverse commuters regardless of income. The program requires coordination of Federally-assisted programs and services in order to make the most efficient use of Federal resources.

Funds from the JARC program are available for capital, planning, and operating expenses that support the development and maintenance of transportation services designed to transport low-income individuals to and from jobs and activities related to their employment and to support reverse commute projects.

JARC funds may be used to finance capital, planning and operating expenses. The Federal share of eligible capital and planning costs may not exceed 80 percent of the net cost of the activity. The Federal share of the eligible operating costs may not exceed 50 percent of the net operating costs of the activity.

All of the local share must be provided from sources other than Federal DOT funds.

To view or download information related to the Section 5316 program from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=626. To otherwise obtain information, contact the UDOT FTA Section 5316 Program Manager.

FTA Section 5317 New Freedom

New Freedom funds are to be used to provide additional tools to overcome existing barriers facing Americans with disabilities seeking integration into the work force and full participation in society.

The New Freedom formula grant program aims to provide additional tools to overcome existing barriers facing Americans with disabilities seeking integration into the work force and full participation in society.

New Freedom Program funds are available for capital and operating expenses that support new public transportation services beyond those required by the Americans with Disabilities Act of 1990 (ADA) and new public transportation alternatives beyond those required by the ADA designed to assist individuals with disabilities with accessing transportation services, including transportation to and from jobs and employment support services.

New Freedom funds may be used to finance capital, planning and operating expenses. The Federal share of eligible capital and planning costs may not exceed 80 percent of the net cost of the activity. The Federal share of the eligible operating costs may not exceed 50 percent of the net operating costs of the activity.

All of the local share must be provided from sources other than Federal DOT funds

To view or download information related to the Section 5316 program from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=626. To otherwise obtain information, contact the UDOT FTA Section 5317 Program Manager.

5.1 FEDERAL AID AGREEMENT

- INTRODUCTION -

The Federal Aid Agreement is a legally binding document between UDOT and the LGA that estimates the project costs and outlines each agency's project responsibilities. It also estimates the LGA's matching funds. See sample Federal Aid Agreement in Appendix.

The initial Federal Aid Agreement documents project design and environmental work costs. Modifications to this agreement will occur when there is a change in Federal or State funds or as needed for unique circumstances. UDOT and the LGA modify the Federal Aid Agreement based on the type of work requiring Federal Aid. An LGA cannot expend Federal funds without a Federal Aid Agreement and R-709 in place.

The LGA commits to a project by executing the Federal Aid Agreement prepared by the UDOT Project Manager. In preparing the Federal Aid Agreement, UDOT also processes an R-709.

Expenditure of Federal Funds: R-709



R-709 is an agreement between UDOT and FHWA regarding UDOT's request for aid, project approval, authorization, or agreement. UDOT completes the form and FHWA must approve the form before the LGA spends any Federal funds on a project. UDOT prepares and processes the R-709 form for all Local Government projects as outlined below:

| R-709 Agreements | Preparation Responsibility | Processing Responsibility |
|---|----------------------------|----------------------------|
| Consultant Contracts | UDOT Project Manager | UDOT Consultant Services |
| Right-of-Way Federal Aid Agreements | UDOT Project Manager | UDOT Consultant Services |
| Utility Agreements | Region Utility Coordinator | Region Utility Coordinator |
| Construction Contracts | UDOT Project Manager | UDOT Project Manager |
| Design Federal Aid Agreement where LGA seeks reimbursement for work completed by LGA staff or sub-consultants | UDOT Project Manager | UDOT Project Manager |

- ACTIVITIES -

Local Government and UDOT Project Orientation Meeting

The UDOT Project Manager contacts the LGA and schedules a Project Orientation Meeting. The primary purposes of the Project Orientation Meeting is to:

- Review and discuss the parameters of the project
- Outline and discuss the project process
- Review and discuss the elements of the Federal Aid Agreement

The Consultant may also attend if the LGA has identified one for the project. The UDOT Project Manager may include this as an item on the meeting agenda if the LGA has not identified a Consultant. The UDOT Project Manager sets up the meeting and the LGA prepares the agenda and keeps meeting minutes.

Draft Federal Aid Agreement

The UDOT Project Manager requests a Federal Aid transaction and the draft document is prepared by Consultant Services staff. develops the Draft Federal Aid Agreement based on input from the LGA at the Project Orientation Meeting. The UDOT Project Manager forwards the Draft Federal Aid Agreement to the LGA for comment within one week following the Project Orientation Meeting.

Depending on the scope and parameters of the project, the Federal Aid Agreement may include LGA In-House Work Participation Forms or LGA Flexible Match Forms.

1) LGA In-House Work Participation Forms

UDOT may reimburse the LGA for project related work performed by LGA staff using Federal funds. The LGA submits the following forms to the UDOT Project Manager for approval. If approved, the forms are included in the Draft Federal Aid Agreement:

- UDOT PM Approval Memo (Prepared by the UDOT Project Manager)
- Detailed Work Plan
- Personnel/Staffing Plan
- Schedule
- Cost Proposal
- Sub-Consultant Information
- Certificate of Insurance
- R-709 (Prepared by the UDOT Project Manager)

Contact the UDOT Consultant Services Local Governments Contract Administrator for information concerning these items.



2) LGA Flexible Match

Flexible match provides a means of contributing public and private contributions toward the non-Federal match for Federal Aid projects. Any project using flexible match must comply with all provisions applicable to all Federal Aid highway projects.

To view or download the Flexible Match Guidelines from the UDOT web site, refer to the following link: www.udot.utah.gov/go/csforms.

For UDOT to use Flexible Match, both parties must sign the Flexible Match Proposal Form and attach it to the Federal Aid Agreement prior to final processing. The LGA may not purchase, contract for, or perform any services until UDOT Consultant Services acquires the signatures on the Flexible Match Form. Failure to obtain approval results in loss of Federal funds.

To view or download the Flexible Match Proposal Form from the UDOT web site, refer to the following link: www.udot.utah.gov/go/csforms. To otherwise obtain these forms, contact the UDOT Consultant Services Local Government Contract Administrator.

Revise Agreement

Once the LGA receives the Draft Federal Aid Agreement, the UDOT Project Manager and LGA work together to identify and incorporate necessary changes. The UDOT CS-CA prepares the Final Federal Aid Agreement.

Process Federal Aid Agreement for Signatures

The UDOT Project Manager prepares five originals of the Federal Aid Agreement and sees that the LGA and the UDOT Region Director sign all copies.

After obtaining the appropriate signatures, the UDOT Project Manager forwards all copies of the Federal Aid Agreement to UDOT Consultant Services Local Governments Contract Administrator for distribution to the

UDOT Comptroller's Office. UDOT Consultant Services obtains any remaining signatures, prepares and distributes the Federal Aid Agreement to the LGA, UDOT Project Manager, and appropriate UDOT departments.

Any changes to the standard Federal Aid Agreement template requires the UDOT Project Engineering Services Director's approval. This may require coordination with UDOT Legal Counsel and additional processing and approval time.

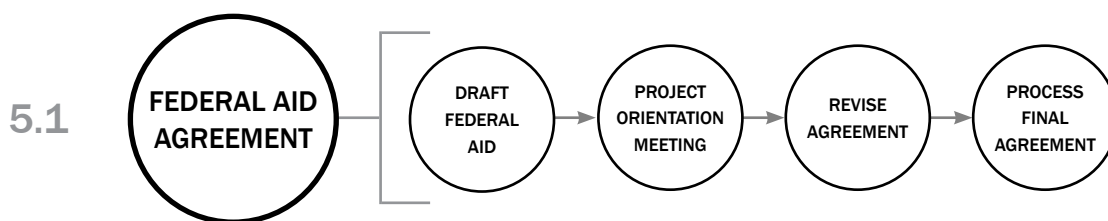
- ACTIVITY AND DELIVERABLES CHECKLIST -

The LGA completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Hold Project Orientation Meeting
- ☐ Prepare, distribute, and file the Project Orientation Meeting agenda and minutes
- ☐ Confirm that UDOT Project Manager prepared the Draft Federal Aid Agreement
- ☐ Confirm that UDOT Project Manager prepared the Final Federal Aid Agreement
- ☐ Confirm that UDOT prepared five originals of the Final Federal Aid Agreement and obtained LGA, UDOT Region Director and, as necessary, the UDOT Engineering Services Director signatures
- ☐ Confirm that UDOT Consultant Services distributed final copies of the Agreement
- ☐ File one original copy of the Federal Aid Agreement with signatures
- ☐ Deposit Matching Funds with the UDOT Comptroller's Office

- TIMELINE -

The following table depicts the approximate timeline for the Federal Aid Agreement:



5.2 CONSULTANT DESIGN CONTRACT

- INTRODUCTION -

A Consultant Design Contract is required if a consultant is required for design engineering activities. The LGA cannot solicit a Request for Qualifications (RFQ), use their own selection process, or contract directly with a Consultant. Failure to follow the UDOT Consultant selection process results in loss of Federal funds.

LGAs may use an Engineer of Record. The formal process for acquiring an Engineer of Record for use on Federal Aid projects may be obtained by calling the UDOT Consultant Services Local Government Contract Administrator. When an LGA contracts using an Engineer of Record, the LGA is required to:

- Certify that the consultant was obtained by qualification-based selection process (provide documentation of selection process)
- Provide an agreement or minutes from a council or commission meeting expressing that the Consultant has been appointed Engineer of Record
- Follow the independent estimate process to procure consultant engineering services.

See Appendix for Engineer of Record form.

- ACTIVITIES -

The Consultant Services Manual of Instruction contains the specific activities associated with the Local Government Consultant Selection process. To view or download this from the UDOT web site, refer to the following link: www.dot.state.ut.us/index.php/m=c/tid=615. To otherwise obtain this document, contact the UDOT Consultant Services Manager.

Primary activities are as follows:

Select Consultant

The UDOT Project Manager coordinates with Consultant Services to determine the appropriate selection process. Selection processes include Request for Qualifications (Standard and Streamline), Engineer of Record, or Consultant Pool. Consultant Services oversees the consultant selection. The LGA selects a Consultant to design the project with assistance from the UDOT Project Manager.

Contract Scoping Meeting

The UDOT Project Manager, the LGA, and Consultant meet to discuss the project parameters and level of effort required to complete the project. The LGA schedules the meeting, prepares the agenda, and keeps meeting minutes.

Scope of Work and Detailed Work Plan

Scope of Work: The UDOT Project Manager prepares an independent scope of work.

Detailed Work Plan: The Consultant prepares a Detailed Work Plan. The Detailed Work Plan identifies the following:

- UDOT Project Manager
- Project Name
- UDOT Project Number
- Project Location and Description
- Project Tasks with a Thorough Description of Each Task

Prepare Cost Estimates

1) *Independent Cost Estimate (ICE)*

The UDOT Project Manager and the LGA formulate an ICE.

2) *Consultant Cost Estimate*

The Consultant prepares a cost estimate.

3) *Cost Estimate Comparison*

The Consultant cost estimate must be within 20 percent of the UDOT Project Manager ICE to proceed with cost negotiations. The Consultant may submit a second cost estimate if the Consultant cost estimate is not within the 20 percent threshold. The LGA and UDOT Project Manager may select a new Consultant if the cost estimate again exceeds the 20 percent threshold and negotiations do not yield a fair and reasonable price.

Consultant Services schedules a final contract negotiation meeting if the cost estimates are within the 20 percent threshold. Final negotiated costs must be within 10 percent of the UDOT Project Manager's ICE. The UDOT Project Manager must provide written justification of the difference if negotiated costs are above or below 10 percent of the UDOT Project Manager's ICE.

Prepare Contract Information

1) *Local Agency*

The LGA completes the Local Government Project Manager Review Memo and submits it to the UDOT Project Manager. The Local Government Project Manager Review Memo states that the Federal Aid

Agreement is in place and identifies the LGA's selected consultant, consultant selection method, contract completion date, contract amount, and any other information the LGA wishes to include in the contract.

2) Consultant

Under the direction of the LGA, the Consultant Project Manager submits the following to the UDOT Project Manager.

Detailed Work Plan: The Consultant prepares a Detailed Work Plan. The Detailed Work Plan identifies the following:

- UDOT Project Manager
- Project Name
- UDOT Project Number
- Project Location and Description
- Project Tasks with a Thorough Description of Each Task

Executive Summary: The executive summary includes a brief description of the work, unknowns or states that the project is fully scoped, phasing and the reasons for phasing, the contract fee type (unit price, lump sum, or cost plus fixed fee), and the reason for selecting the contract fee type.



Cost Proposal: The cost proposal references the UDOT Project Manager, project name, UDOT project number, project location, and description. Each project task includes an estimated cost using a UDOT approved overhead rate and travel rates, with all direct expenses showing the number of units times the rate. The Prime Consultant must do a minimum of 60 percent of the work.

Work Schedule: The work schedule identifies estimated current initiation and completion dates by project task and includes the Consultant Evaluation Midpoint date.

Project QC/QA Plan: The project QC/QA Plan follows the UDOT standard QC/QA Plan process. To view or download the UDOT standard QC/QA Process document from the UDOT web site, refer to the following link: www.dot.state.ut.us/index.php/m=c/tid=650.

The Consultant submits the Consultant QC/QA Plan Responsibility form to UDOT. To view or download a sample Consultant QC/QA Plan Responsibility form from the UDOT web site, refer to the following link: www.udot.utaht.gov/index.php/m=c/tid=287. To otherwise obtain these forms, contact the UDOT Consultant Services Local Governments Contract Administrator. For each project task, the QC/QA Plan lists the team leader, QC review person, and QA review person. The QC review person must be different from the QA review person.

Staffing Plan: The Staffing Plan identifies all staff assigned to the project along with their respective firm or company information, project title, certification category or level, Utah license or certification number, education level, estimated project hours, and rate of pay (labor, billing, and unit price).

To view or download a sample Staffing Plan Form from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=287. To otherwise obtain this form, contact the UDOT Consultant Services Local Government Contract Administrator.

Sub-Consultant Information: The sub-consultant provides a letter detailing the work plan and an estimated cost if the contract is under \$5,000. The sub-consultant must provide the above contract information if the contract amount is above \$5,000.

Certificate of Liability Insurance: For all contracts, the Consultant will provide a Certificate of Liability Insurance. To view or download Insurance requirements from the UDOT web site, refer to the following

link: www.udot.utah.gov/index.php/m=c/tid=287. To otherwise obtain these requirements, contact the UDOT Consultant Services Local Government Contract Administrator.

3) UDOT Project Manager

The UDOT Project Manager is responsible to coordinate with the UDOT Local Government Contract Administrator to submit the following contract items:

- Consultant information noted in item above
- Scope of Work
- ePM Screen 430: Independent Cost Estimate (ICE)
- ePM Screen 505: Information related to estimated project costs
- Consultant Services Financial Screening Form
- Project Manager Approval Memorandum
- R-709

Process Contract Information

The UDOT Project Manager, LGA, and Consultant review the project costs itemized in the contract. The UDOT Project Manager submits the complete contract to the UDOT Consultant Services for further processing if all are in agreement.

Consultant Services and the LGA perform the following activities to process the contract information:

1) Consultant Services

- Prepare the Contract
- Obtain UDOT signatures
- Contact the Consultant: Notify them that the document is ready for Consultant and LGA signatures
- Notice to Proceed: After the LGA obtains the necessary signatures, UDOT Consultant Services issue a Notice to Proceed to the Consultant and distributes executed contract copies to the LGA, Consultant, UDOT Project Manager, and appropriate UDOT departments

2) Local Government Agency

- Obtain and sign the contract
- Obtain consultant signature on the contract
- Return signed contract to Consultant Services

Setup Project Characteristics in ePM

Based on contract information, the UDOT Project Manager uses the ePM system to assign completion dates for each activity and assign a target completion date for the project.

- ACTIVITY AND DELIVERABLES CHECKLIST -

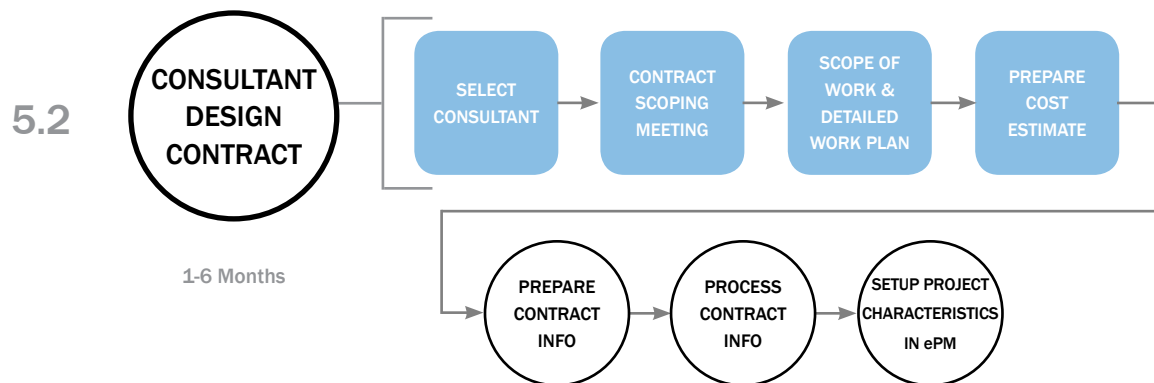
The LGA completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Select a Consultant for the project with help from the UDOT Project Manager
- ☐ Schedule and conduct the Contract Scoping Meeting
- ☐ Prepare, distribute, and file the Contract Scoping Meeting agenda and minutes
- ☐ Prepare independent Scope of Work with help from the UDOT Project Manager
- ☐ Confirm that the Consultant prepared a Detailed Work Plan
- ☐ Prepare an ICE with help from the UDOT Project Manager
- ☐ Prepare Local Government Project Manager Review Memo and submit it to the UDOT Project Manager
- ☐ Confirm that UDOT Consultant Services sent a Selection Notification Letter to the Consultant (only for RFQ selection)
- ☐ Confirm that the Consultant provided the following contract information and documentation to the

- UDOT Project Manager:
- ☐ Detailed Work Plan
 - ☐ Executive Summary
 - ☐ Cost Proposal
 - ☐ Work Schedule
 - ☐ QC/QA Plan
 - ☐ Staffing Plan
 - ☐ Sub-Consultant Information
 - ☐ Certificate of Liability Insurance
- ☐ Confirm that the UDOT Project Manager prepared the following contract items:
- ☐ Items from the Consultant
 - ☐ Scope of Work
 - ☐ ICE
 - ☐ ePM Screen 505
 - ☐ Consultant Financial Screening Form
 - ☐ Project Manager Approval Memorandum
 - ☐ R-709
 - ☐ Confirm that Consultant Services processed the contract information, distributed the contract for signature, provided a Notice to Proceed, and distributed the executed contract
 - ☐ Confirm that the UDOT Project Manager set up the project in the ePM system

- TIMELINE -

The following table depicts the approximate timeline for the Consultant Design Contract:



5.3 ENVIRONMENTAL DOCUMENT AND PRELIMINARY DESIGN

- INTRODUCTION -



The LGA and UDOT must have an executed Federal Aid Agreement prior to the initiation of any environmental or preliminary design work.

A Consultant prepares the applicable Environmental document based on the requirements of the project. The three types of Environmental documents are Categorical Exclusion, Environmental Assessment, and Environmental Impact Statement.

The LGA may act as the Consultant in the Environmental document preparation activities listed below if the LGA has sufficient qualified staff. Qualified staff refers to those individuals who have a current Professional Engineering License from the State of Utah and are willing and able to stamp plan sets in accordance with

applicable state laws. The UDOT Project Manager determines if the LGA has sufficient qualified staff. The Consultant performs enough design work to prepare the Final Environmental Document.

- ACTIVITIES -

The UDOT Environmental Manual of Instruction and the Design Process Manual detail the specific activities associated with the Environmental Document and Preliminary Design. A brief overview of the primary process elements and required standards include:

Identify Potential Environmental Impacts

The Consultant and the LGA produce a list of potential environmental impacts and submit the list to the Region Environmental Manager along with a copy of the Local Government Project Concept Report. The Consultant, LGA, UDOT Project Manager, and Region Environmental Manager develop the list during an on-site meeting if necessary.

Determine Document Type

The Environmental Manager, in conjunction with FHWA, determines which of the following three document types is required for the project:

- Categorical Exclusion (CATEX)
- Environmental Assessment (EA)
- Environmental Impact Statement (EIS)

To obtain detailed information related to each document type, refer to FHWA's Guidance for Preparing and Processing Environmental and Section 4(f) Documents – Technical Advisory TA 6640.8A, located at the following link: environment.fhwa.dot.gov/projdev/impTA6640.asp.

Also, refer to FHWA Regulation 23 CFR 771 - Environmental Impact and Related Procedures, at the following link: www.access.gpo.gov/nara/cfr/waisidx_02/23cfr771_02.html. To otherwise obtain these documents, contact the Environmental Program Manager.

The Environmental Program Manager is available for direct consultation by the Consultant or LGA in determining the appropriate document type. In the event of an Environmental Assessment (EA) or an Environmental Impact Statement (EIS) document determination, Consultant Services requires one Consultant selection process and contract for the environmental work and a separate Consulting selection process and contract for the final design work. The Federal agency may choose to prepare an EIS without first preparing an EA if it anticipates that an undertaking may significantly affect the environment or if a project is environmentally controversial.

Prepare Environmental Document

The Consultant, in conjunction with UDOT Environmental Personnel, prepares the Environmental Document under the direction of the LGA. The LGA/Consultant adheres to the following manuals, standards, and formats when preparing the Environmental Document.

1) UDOT Environmental Process Manual of Instruction

To view or download this Manual from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=1328. To otherwise obtain this document, contact the Environmental Program Manager.

2) UDOT Environmental Assessment Guidelines

To obtain these Guidelines contact the Environmental Program Manager.

3) UDOT Design Process Manual

To view or download this Manual from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=721.

4) Design Standards

Minimum design requirements for Local Government projects must meet current UDOT standards. Contact the UDOT Project Manager or the UDOT Local Government Project Engineer for a current list of UDOT standards. The Consultant prepares a Special Provision if UDOT does not specify a design requirement. For more information on Special Provisions, refer to the Final Design section of this Guide.

5) Design Format

Until a Local Government design format is formally developed and documented, the format must comply with UDOT Plan Sheet Development Standards. To obtain these standards, contact the UDOT Engineering Technology Systems Group.

The UDOT Engineering Technology Systems Manual serves as the standard for CADD systems and the development of plans. **Exceptions:** The LGA may submit an alternate documented format to the UDOT Project Manager for use on the project.

The UDOT Project Manager may approve the alternate format for use on the project. Approval is subject to the ability to advertise and construct the project according to UDOT standards.

6) FHWA Technical Advisory TA 6640.8A

To view or download this document, refer to the following link: environment.fhwa.dot.gov/projdev/impTA6640.asp. To otherwise obtain this document, contact the Environmental Program Manager.

7) FHWA Regulation 23 CFR 771

To view or download this document, refer to the following link: www.access.gpo.gov/nara/cfr/waisidx_02/23cfr771_02.html. To otherwise obtain this document, contact the Environmental Program Manager.

Required Reviews

UDOT requires the following reviews prior to completion of the Environmental Document and Preliminary Design.

1) QC Review

The Consultant completes the QC sign-off in accordance with the Consultant Design Contract. The Consultant submits the QC checklists to the UDOT Project Manager.

To view or download the UDOT standard QC checklists from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=995. To otherwise obtain these checklists, contact the UDOT Consultant Services Local Government Contract Administrator.

2) QA Review

The Consultant completes the QA sign-off in accordance with the Consultant Design Contract. The Consultant then submits the QA checklists to the UDOT Project Manager. To view or download the UDOT standard QA checklists from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=995. To otherwise obtain these checklists, contact the UDOT Consultant Services Local Government Contract Administrator.

3) UDOT Review

The Consultant, in conjunction with the LGA, provides the following items and the UDOT Project Manager or Functional Manager, as assigned by the Project Manager, reviews these items:

Environmental Document: All reviews and submittals related to the Environmental Document must be in accordance with the Environmental Manual of Instruction.

Design Standards: The Consultant provides to UDOT a list of all UDOT standards, a list of LGA standards that require a Special Provision for the project, and documentation that the Consultant met the standards.

Design Format: The Consultant provides documentation that they followed the applicable design format.

4) UDOT Review Certification

The UDOT Project Manager or Functional Manager, as assigned by the Project Manager, certifies that the above items are complete. UDOT sends a certification email or letter to the Consultant and LGA within one week following the review.

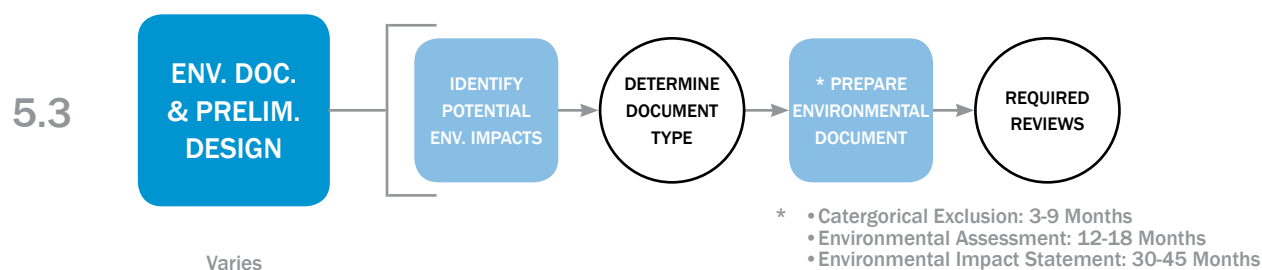
- ACTIVITY AND DELIVERABLES CHECKLIST -

The LGA completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Confirm that the Federal Aid Agreement is executed prior to initiation of any environmental work
- ☐ File the list of potential environmental impacts
- ☐ Confirm that the Consultant submitted the list of potential environmental impacts to the Region Environmental Manager along with a copy of the Local Government Project Concept Report
- ☐ Confirm that the Environmental Manager, in conjunction with FHWA, determined document type required for the project
- ☐ Confirm that the Consultant, in conjunction with UDOT, prepared the Environmental Document
- ☐ File a copy of all Environmental Documents (Draft and Final)
- ☐ Confirm that the Consultant completed and submitted QC/QA forms
- ☐ Confirm that the UDOT Project Manager performed required reviews
- ☐ Confirm that the UDOT Project Manager sent a UDOT Review Certification email or letter to the Consultant and LGA

- TIMELINE -

The following table depicts the approximate timeline for the Environmental Document and Preliminary Design:



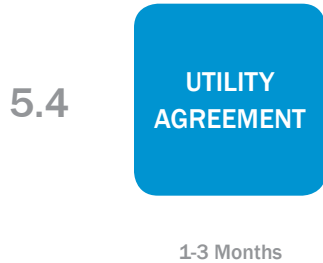
5.4 UTILITY AGREEMENT

- INTRODUCTION -

The LGA enters into formal agreements with all Utility and Railroad companies whose facilities will be impacted by the project. The Region Utility Coordinator's approval is only needed if federal funds are used to relocate a utility. Utility Certification must be provided by the LGA on agency letterhead.

- TIMELINE -

The following table depicts the approximate timeline for the Utility Agreement:



5.5 RIGHT-OF-WAY APPROVAL

- INTRODUCTION -

In the case that the LGA uses Federal funds to assist with the purchase of right-of-way for a project, UDOT requires a modification to the Federal Aid Agreement. The Federal Aid Agreement Modification for Right-of-Way estimates the right-of-way appraisal and acquisition costs associated with the project and outlines each agency's responsibility for the costs.

- ACTIVITIES -

Draft Federal Aid Agreement

The UDOT Project Manager is responsible for developing the Draft Federal Aid Agreement based on input from the LGA. The UDOT Project Manager submits the Draft Federal Aid Agreement to the LGA for comment. The LGA must understand Federal acquisition policies and procedures related to right-of-way acquisition to insure that Federal funds are not jeopardized. Refer to the FHWA publication Real Estate Acquisition Guide For Local Public Agencies for information.

To view or download this publication, refer to the following web site link: www.fhwa.dot.gov/realestate/lpaguide/index.htm. To otherwise obtain this document, contact the UDOT Right-of-Way Section.

Depending on the scope and parameters of the project, the Federal Aid Agreement may include LGA Reimbursement Forms and supplements.

1) LGA Reimbursement Forms

UDOT may reimburse the LGA for project related work performed by LGA staff with Federal funds. The LGA submits the following items to the UDOT Project Manager for approval. The UDOT Project Manager attaches the forms to the Federal Aid Agreement if approved.

- UDOT Project Manager Approval Memo (Prepared by UDOT Project Manager)
- Detailed Work Plan
- QC/QA Plan
- Personnel/Staffing Plan
- Schedule
- Cost Proposal
- Sub-Consultant Information
- Certificate of Insurance

For information concerning these items, contact the UDOT Consultant Services Local Government Contract Administrator.

2) Supplements

The Consultant develops the initial right-of-way cost estimate and right-of-way resource plan. The right-of-way resource plan must include the names of each agent the LGA intends to use to perform each right-of-way activity. The Consultant also obtains right-of-way parcel maps as supplements to the Federal Aid Agreement. The Consultant submits these items to the UDOT Project Manager.

To obtain additional information regarding the UDOT Right-of-Way process or forms, refer to the Right-of-Way Manual of Instruction. To view or download this Manual from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=199. To otherwise obtain this document, contact the UDOT Right-of-Way Section.

Revise Agreement

Once the LGA receives the Draft Federal Aid Agreement, the UDOT Project Manager and LGA work together to identify and incorporate necessary changes. The UDOT Project Manager prepares the final Agreement for processing.

Process Federal Aid Agreement for Signatures

The UDOT Project Manager prepares five originals of the Agreement and sees that the LGA and the UDOT Region Director signs all copies.

After obtaining the appropriate signatures, the UDOT Project Manager forwards all five copies of the Federal Aid Agreement to the UDOT Local Government Contract Administrator for distribution to UDOT Right-of-Way. Along with the Federal Aid Agreement, the UDOT Project Manager will include the initial right-of-way cost estimate, right-of-way resource plan, right-of-way parcel maps, and a completed R-709 form.

After UDOT Right-of-Way approves the initial right-of-way cost estimate, right-of-way resource plan, and right-of-way parcel maps, UDOT Consultant Services submits the R-709 form to UDOT Systems Planning and Programming for approval.



Following approval of the R-709 form, UDOT Consultant Services obtains the remaining required signatures as necessary and prepares and distributes the Federal Aid Agreement to the LGA and UDOT Project Manager. Failure to obtain an approved R-709 prior to purchasing right-of-way results in Federal loss of funds.

Any changes to the standard Federal Aid Agreement template requires the UDOT Project Engineering Services Director's approval. This may require coordination with UDOT Legal Counsel and additional processing and approval time.

- ACTIVITY AND DELIVERABLES CHECKLIST -

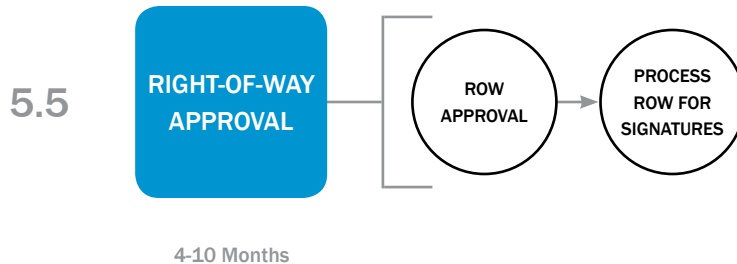
The LGA completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Confirm that the UDOT Project Manager prepared the Draft Federal Aid Agreement
- ☐ Confirm that Consultant prepared and submitted initial right-of-way cost estimate, resource plan, and parcel maps to UDOT Consultant Services
- ☐ Confirm that UDOT Consultant Services forwarded the initial right-of-way cost estimate, resource plan, and parcel maps to UDOT Right-of-Way for review
- ☐ Confirm that UDOT Right-of-Way approved the initial right-of-way cost estimate, resource plan, and parcel maps
- ☐ Confirm that UDOT prepared five originals of the Final Federal Aid Agreement and obtained LGA, UDOT Region Director, and, as necessary, the UDOT Engineering Services Director signatures
- ☐ Confirm that the UDOT Project Manager forwarded all five originals of the Federal Aid Agreement, completed R-709 form, initial right-of-way cost estimate, resource plan, and parcel maps to UDOT

- Consultant Services
- ☐ Confirm that UDOT Consultant Services forwarded the completed R-709 form to UDOT Systems Planning and Programming for approval
- ☐ Confirm that UDOT Systems Planning and Programming approved the R-709 form
- ☐ Confirm that UDOT Consultant Services distributed final copies of the Federal Aid Agreement
- ☐ File one original copy of the Federal Aid Agreement with signatures
- ☐ Deposit Matching Funds with the UDOT Comptroller's Office

- TIMELINE -

The following table depicts the approximate timeline for the Federal Aid Agreement:



5.6 FINAL DESIGN

- INTRODUCTION -

Final Design consists of the Measurement and Payment (M&P) and the Final Plans, Specifications, and Engineer's Estimate (PS&E). Final PS&E's vary in size and complexity by project.

- ACTIVITIES -

The Consultant, under the direction of the LGA, prepares the Final PS&E and M&P. LGAs with sufficient qualified staff may prepare the Final Plans, Specifications, M&P, and Engineer's Estimate. Qualified staff includes those individuals who have a current Professional Engineer License from the State of Utah and are willing and able to stamp plan sets in accordance with applicable state laws. The UDOT Project Manager determines if the LGA has sufficient qualified staff.

Prepare Final Plans

The Consultant adheres to the following manuals, standards, and formats when preparing Final Plans.

- Design Process
- Design Standard
- Design Format

Prepare Special Provisions

A Special Provision modifies a Standard Specification in full, in part, or by adding a new Section specific to the project. The Consultant adheres to the following manuals, standards, and formats when preparing Special Provisions.

Special Provisions are either "participating" or "non-participating" items. Participating items are eligible for Federal funds. The LGA pays for non-participating items. The UDOT Project Manager determines which Special Provision items are participating or non-participating. The LGA may include non-participating items in the project plan as Betterments. The Consultant creates a separate detail in the Engineer's Estimate for Betterments.

1) Special Provision Standards

- Project Specification Creation Instructions:
To view or download the Project Specification Creation Instructions from the UDOT Standards and Specifications web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=302. From this link, select the current year Standards link, followed by the current year Standards and Supplemental Specifications link, followed by the General Specification Information link.
- Special Provision Section of the Roadway Design Manual of Instruction

2) Special Provision Format

- Federal Advertising Checklist, Special Provision Related Steps: To view or download the Federal Advertising Checklist and Special Provision related steps from the UDOT Standards and Specifications web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=302. From this link, select the current year Standards link, followed by the current year Project Checklist link.
- Special Provision Standard Format Section of the Roadway Design Manual of Instruction
- Specification Writers' Guide: Refer to the Specification Writers' Guide for wording and formatting instructions and suggestions. To view or download the Specification Writers' Guide from the UDOT Standards and Specifications Web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=719.

3) Assistance and Contact Information

For assistance or to obtain the Project Specification Creation Instructions, Federal Advertising Checklist, or Specification Writers' Guide, refer to the UDOT Standards and Specifications section contact list at the following link: www.udot.utah.gov/index.php/m=c/tid=524.

Prepare Measurement and Payment (M&P)

The M&P document specifies how each contract item is measured and how the Contractor is paid. To view or download M&P set up instructions or the latest M&P sample document from the UDOT Standards and Specifications web site, refer to the following link: www.udot.utah.gov/index.php?m=c&tid=302. From this link, select the current year Standards link, followed by the current year M&P link. Refer to the Measurement and Payment Section of the Roadway Design Manual of Instruction for additional information on the M&P Document.

Refer to the Standards and Specifications Contact Web page at www.udot.utah.gov/index.php/m=c/tid=524 for contact information and further assistance.

Prepare Engineer's Estimate

The LGA/Consultant prepares the Engineer's Estimate in UDOT's Project Development Business System (PDBS). The Engineer's Estimate consists of various sections referred to as details. To access information on the UDOT PDBS system, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=899. To otherwise obtain information on the UDOT PDBS system, contact the UDOT Construction Division or refer to Estimates in the PDBS Section of the Roadway Design Manual of Instruction.

Required Reviews

UDOT requires the following reviews prior to completion of the M&P and Final PS&E.

1) QC Review

The Consultant completes the QC sign-off in accordance with the Consultant Design Contract. The Consultant then submits the QC checklists to the UDOT Project Manager. To view or download the UDOT standard QC checklists from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=995. To otherwise obtain these checklists, contact the UDOT Consultant Services Local Government Contract Administrator.

2) QA Review

The Consultant completes the QA sign-off in accordance with the Consultant Design Contract. The Consultant then submits the QA checklists to the UDOT Project Manager. To view or download the UDOT standard QA checklists from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=994. To otherwise obtain these checklists, contact the UDOT Consultant Services Local Government Contract Administrator.

3) UDOT Review Certification

The Consultant, in conjunction with the LGA, provides the following items to the UDOT Project Manager. The UDOT Project Manager or Functional Manager, as assigned by the Project Manager, reviews these items.

- The Final Plans
- The Special Provisions
- The M&P
- The Engineer's Estimate

4) UDOT Certification

The UDOT Project Manager or Functional Manager, as assigned by the Project Manager, certifies that the items above are complete. UDOT sends a certification email or letter to the Consultant and LGA within one week following certification.

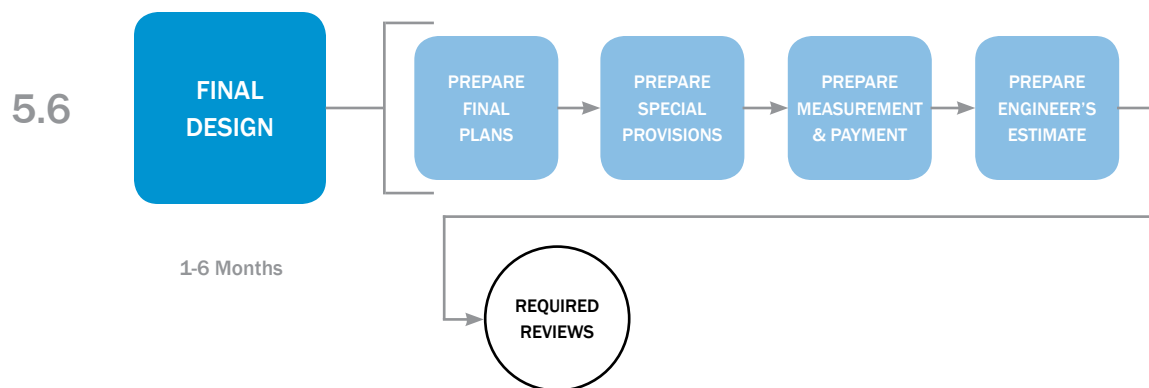
- ACTIVITY AND DELIVERABLES CHECKLIST -

The LGA completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Prepare Final Plans
- ☐ Prepare Special Provisions
- ☐ Prepare Measurement and Payment
- ☐ Prepare PDBS Engineer's Estimate
- ☐ Confirm that the Consultant completed and submitted QC/QA Forms to the UDOT Project Manager
- ☐ Confirm that the UDOT Project Manager sent the Review Certification email or letter to the Consultant and LGA

- TIMELINE -

The following table depicts the approximate timeline for the Final Design:



5.7 PLANS, SPECIFICATIONS & ENGINEER'S ESTIMATE (PS&E) REVIEW

- INTRODUCTION -

The LGA conducts the PS&E Review following completion of the reviews in the Final Design section. The PS&E Review is a review of the PS&E Packet. Reviewers comment on project concerns and issues.

- ACTIVITIES -

Review Meeting Preparation

The UDOT Project Manager and LGA agree on and document the following meeting elements:

- Purpose
- Participants
- Location
- Date
- Start Time
- Duration

The LGA notifies the Consultant of the meeting. The UDOT Project Manager notifies the appropriate UDOT personnel of the meeting.

Prepare PS&E Packet

The Consultant prepares the PS&E Packet.

1) The PS&E Packet Includes the Following:

- Cover Letter or Email which documents the following:
 - Meeting Purpose
 - Meeting Participants
 - Location of Meeting
 - Date of Meeting
 - Meeting Start Time
 - Estimated Duration of Meeting
- Final Plans must meet UDOT standards and format
- Special Provisions must meet UDOT standards and format
- Measurement and Payment must meet UDOT standards and format
- Engineer's Estimate must meet UDOT standards and format

2) Prepare Copies and Distribute PS&E Packet

The Consultant prepares and distributes a copy of the PS&E Packet to each meeting participant a minimum of one week before the meeting.

PS&E Review Meeting

1) Meeting Format

The LGA, in conjunction with the UDOT Project Manager, conducts the PS&E Review meeting using one, or a combination of more than one, of the following meeting formats:

- Formal Meeting: Meeting participants attend the meeting and provide written or verbal comments during the meeting.
- Written Comments: Meeting participants submit written comments to the Consultant prior to the meeting.

2) Meeting Minutes

The Consultant prepares and distributes PS&E Review meeting minutes.

Address PS&E Comments

The Consultant addresses each participant comment in the PS&E Review meeting minutes.

Submit PS&E Comments to the Meeting Participants

The Consultant submits the PS&E Review meeting minutes to the meeting participants for review and comment.

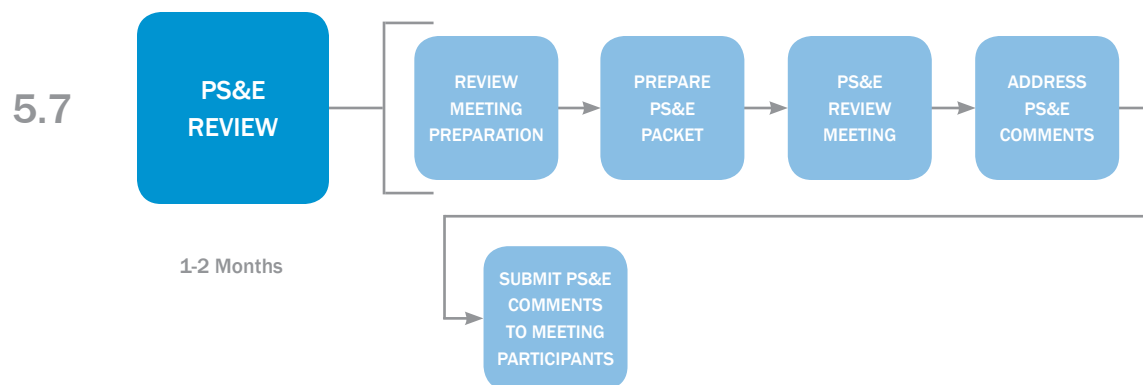
- ACTIVITY AND DELIVERABLES CHECKLIST -

The LGA completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Agree on and document PS&E meeting elements
- ☐ Confirm that the Consultant prepared and distributed the PS&E Packet
- ☐ File a copy of the PS&E Packet
- ☐ Conduct PS&E Meeting
- ☐ Confirm that the Consultant addressed participant comments in PS&E Meeting Minutes
- ☐ Confirm that the Consultant submitted the PS&E Meeting Minutes to the meeting participants
- ☐ File PS&E Meeting Minutes
- ☐ File PS&E Packet

- TIMELINE -

The following table depicts the approximate timeline for the PS&E Review:



5.8 CONSULTANT CONSTRUCTION ENGINEERING MANAGEMENT (CEM) CONTRACT

- INTRODUCTION -

UDOT requires a Consultant Construction Engineering Contract when a consultant performs construction engineering activities. The LGA cannot solicit a Request for Qualifications (RFQ), use their own selection process, or contract directly with a Consultant. Failure to follow the UDOT Consultant selection process results in Federal non-participation.

- ACTIVITIES -

The Consultant Services Manual of Instruction contains the specific activities associated with the Local Government Consultant Selection process. To view or download this from the UDOT web site, refer to the following link: www.dot.state.ut.us/index.php/m=c/tid=615. To otherwise obtain this document, contact the UDOT Consultant Services Manager. Primary activities are as follows.

Consultant Selection Process

The LGA selects a Consultant to perform construction engineering on the project with assistance from the UDOT Project Manager. The UDOT Project Manager coordinates with Consultant Services who determines the appropriate selection process. Selection processes include Request for Qualifications (Standard and Streamline), Engineer of Record, or Consultant Pool. Consultant Services oversees the consultant selection.

Construction Engineering Scoping Meeting

The UDOT Project Manager, the LGA, and Consultant meet to discuss the project parameters and level of effort required to complete the project. The LGA schedules the meeting, prepares the agenda, and keeps meeting minutes.

Scope of Work and Detailed Work Plan

Scope of Work: The UDOT Project Manager prepares an independent scope of work.

Detailed Work Plan: The Consultant prepares a Detailed Work Plan which identifies the following:

- UDOT Project Manager
- Project Name
- UDOT Project Number
- Project Location and Description
- Project Tasks with a Thorough Description of Each Task

Prepare Cost Estimates

1) *Independent Cost Estimate (ICE)*

The UDOT Project Manager and the LGA formulate an ICE.

2) *Consultant Cost Estimate*

The Consultant prepares a cost estimate.

3) *Cost Estimate Comparison*

The Consultant cost estimate must be within 20 percent of the UDOT Project Manager ICE to proceed with cost negotiations. The Consultant may submit a second cost estimate if the Consultant cost estimate is not within the 20 percent threshold. The LGA and UDOT Project Manager may select a new Consultant if the cost estimate again exceeds the 20 percent threshold, and negotiations do not yield a fair and reasonable price.

Consultant Services schedules a final contract negotiation meeting if the cost estimates are within the 20 percent threshold. Final negotiated costs must be within 10 percent of the UDOT Project Manager's ICE. The UDOT Project Manager must provide written justification of the difference if negotiated costs are above or below 10 percent of the UDOT Project Manager's ICE.

Prepare Contract Information

1) *Local Agency*

The LGA completes the Local Government Project Manager Review Memo and submits it to the UDOT Project Manager. The Local Government Project Manager Review Memo states that the Federal Aid Agreement is in place and identifies the LGA's selected consultant, consultant selection method, contract completion date, contract amount, and any other information the LGA wishes to include in the contract.

2) *Consultant*

Under the direction of the LGA, the Consultant Project Manager submits the following to the UDOT Project Manager:

Detailed Work Plan: The Consultant prepares a Detailed Work Plan which identifies the following:

- UDOT Project Manager
- Project Name

- UDOT Project Number
- Project Location and Description
- Project Tasks with a Thorough Description of Each Task

Executive Summary: The executive summary will include a brief description of the work, identify any unknowns or state that the project is fully scoped, phasing and the reasons for phasing, the contract fee type (unit price, lump sum, or cost plus fixed fee), and the reason for selecting the contract fee type.

Cost Proposal: The cost proposal references the UDOT Project Manager, project name, UDOT project number, project location, and description. Each project task includes an estimated cost using a UDOT approved overhead rate and travel rates, with all direct expenses showing the number of units times the rate. The Prime Consultant must do a minimum of 60 percent of the work.

Work Schedule: The work schedule identifies estimated current initiation and completion dates by project task and includes the Consultant Evaluation Midpoint date.

Project QC/QA Plan: The Consultant provides a QC/QA Plan for construction engineering services.

Staffing Plan: The Staffing Plan identifies all staff assigned to the project along with their respective firm or company information, project title, certification category or level, Utah license or certification number, education level, estimated project hours, and rate of pay (labor, billing, and unit price). To view or download a sample Staffing Plan Form from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=287. To otherwise obtain these checklists, contact the UDOT Consultant Services Local Government Contract Administrator.

Sub-Consultant Information: The sub-consultant provides a letter detailing the work plan and an estimated cost if the contract is under \$5,000. The sub-consultant must provide the items above if the contract amount is above \$5,000.

Certificate of Liability Insurance: For all contracts, the Consultant will provide a Certificate of Liability Insurance. To view or download insurance requirements from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=287. To otherwise obtain these requirements, contact the UDOT Consultant Services Local Government Contract Administrator.

3) UDOT Project Manager

The UDOT Project Manager is responsible to coordinate with the UDOT Local Government Contract Administrator to submit the following contract items.

- Consultant information noted in item above
- Scope of Work
- ePM Screen 430: Independent Cost Estimate (ICE)
- ePM Screen 505: Information related to estimated project costs
- Consultant Services Financial Screening Form
- Project Manager Approval Memorandum
- R-709

Process Contract Information

The UDOT Project Manager, LGA, and Consultant review the project costs itemized in the contract. The UDOT Project Manager submits items B.5.a, b, and c to Consultant Services for further processing if all agree. Consultant Services and the LGA perform the following activities to process the contract information:

1) Consultant Services

- Prepare Contract
- Obtain UDOT signatures
- Contact the Consultant: Notify them that the document is ready for Consultant and LGA signatures

- Notice to Proceed: After the LGA obtains the necessary signatures, UDOT Consultant Services issues a Notice to Proceed to the Consultant and distributes executed contract copies to the LGA, Consultant, UDOT Project Manager, and appropriate UDOT departments

2) Local Government Agency

- Obtain and sign the contract
- Obtain consultant signature on the contract
- Return signed contract to Consultant Services

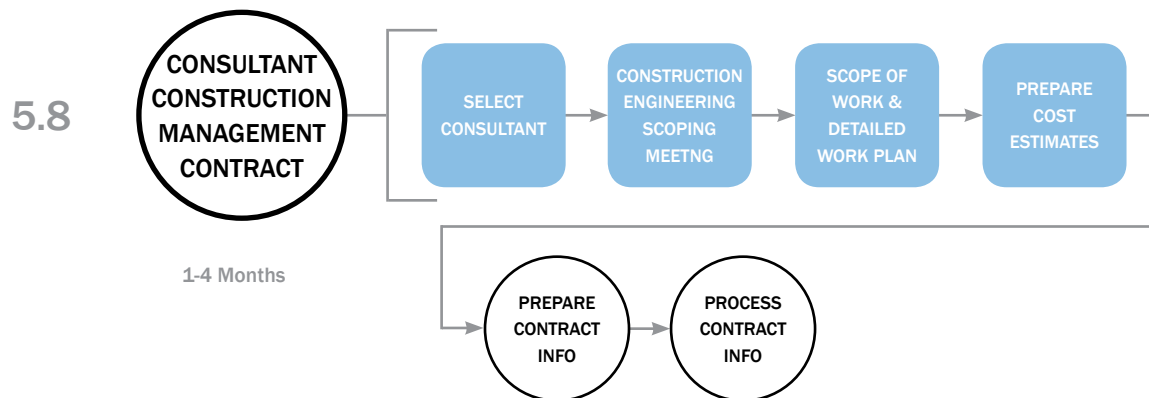
- ACTIVITY AND DELIVERABLES CHECKLIST -

The LGA completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Select a Consultant for the project with help from the UDOT Project Manager
- ☐ Schedule and conduct the Construction Engineering Scoping Meeting
- ☐ Prepare, distribute, and file the Contract Scoping Meeting agenda and minutes
- ☐ Prepare independent Scope of Work with help from the UDOT Project Manager
- ☐ Confirm that the Consultant prepared a Detailed Work Plan
- ☐ Prepare an ICE with help from the UDOT Project Manager
- ☐ Prepare Local Government Project Manager Review Memo and submit it to the UDOT Project Manager
- ☐ Confirm that UDOT Consultant Services sent a Selection Notification Letter to the Consultant (only for RFQ selection)
- ☐ Confirm that the Consultant provided the following contract information and documentation to the UDOT Project Manager:
 - ☐ Detailed Work Plan
 - ☐ Executive Summary
 - ☐ Cost Proposal
 - ☐ Work Schedule
 - ☐ QC/QA Plan
 - ☐ Staffing Plan
 - ☐ Sub-consultant Information
 - ☐ Certificate of Liability Insurance
- ☐ Confirm that the UDOT Project Manager prepared the following contract items:
 - ☐ Items from the Consultant
 - ☐ Scope of Work
 - ☐ ICE
 - ☐ ePM Screen 505
 - ☐ Consultant Financial Screening Form
 - ☐ Project Manager Approval Memorandum
 - ☐ R-709
- ☐ Confirm that Consultant Services processed the contract information, distributed the contract for signature, provided Notice to Proceed, and distributed the executed contract
- ☐ File executed contract

- TIMELINE -

The following table depicts the approximate timeline for the Consultant Construction Contract:



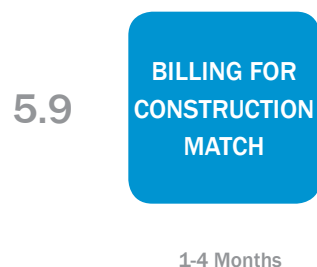
5.9 BILLING FOR CONSTRUCTION MATCH

- INTRODUCTION -

The Local Government Agency receives billing for construction activities and overruns. The Local Agency match for the construction phase is due at this time. All remaining Local Agency funds are due to UDOT at this time unless prior arrangements have been made with UDOT Comptroller.

- TIMELINE -

The following table depicts the approximate timeline for the Billing for Construction Match:



5.10 ADVERTISING PACKET

- INTRODUCTION -

Unless otherwise approved by the UDOT Project Manager in writing, the LGA advertises for contractor bids through UDOT. The Advertising Packet consists of the PS&E Packet, incorporating appropriate changes from the PS&E Review, and the items noted in the Federal Advertising Checklist.

- ACTIVITIES -

Prepare Draft Advertising Packet

Under the direction of the LGA, the Consultant completes the following:

- Complete Federal Advertising Checklist Activities that require the Responsible Party to initial and date
- Complete the Federal Advertising Checklist

- Prepare a Draft Advertising Packet which consists of the complete Federal Advertising Checklist and the completed items noted on the checklist under the Responsible Party Column.

To view or download the Federal Advertising Checklist from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=302. From this link, select the current Standards link, followed by the current Project Checklist link. To otherwise obtain this document, contact the UDOT Specifications Engineer.

Submit Draft Advertising Packet for Review

The Consultant submits the Draft Advertising Packet to the UDOT Region Project Management Support Staff for comment and review.

UDOT Region Project Management Support Staff Review

UDOT Region Project Management Support Staff reviews the Draft Advertising Packet and provides comments to the Consultant following receipt of the Draft Advertising Packet.

Prepare Final Advertising Packet

The Consultant makes the changes to the Draft Advertising Packet based on review comments provided by the UDOT Region Project Management Support Staff and submits the Final Advertising Packet to the UDOT Region Project Management Support Staff.

The UDOT Region Project Management Support Staff prepares the items required on the Federal Advertising Checklist, initials and dates the Checklist in the Support Staff column, and submits the Final Advertising Packet to the UDOT Advertising Coordinator.

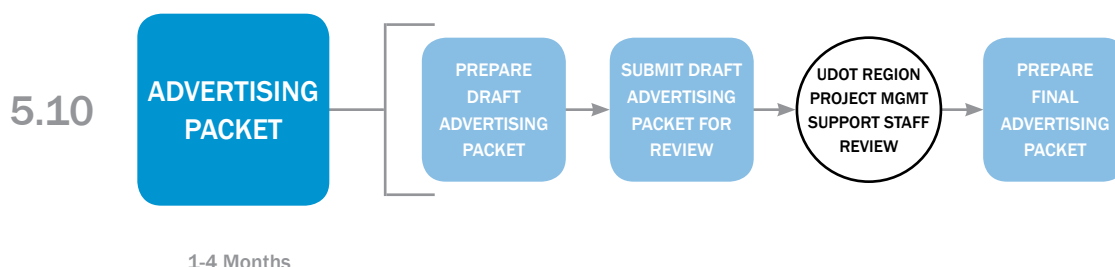
- ACTIVITY AND DELIVERABLES CHECKLIST -

The LGA completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Confirm that the Consultant prepared the Draft Advertising Packet
- ☐ Confirm that the Consultant submitted the Draft Advertising Packet to the UDOT Region Project Management Support Staff for review
- ☐ Confirm that the UDOT Region Project Management Support Staff reviewed the Draft Advertising Packet and provided comments to the Consultant following receipt of the Draft Advertising Packet
- ☐ Confirm that the Consultant incorporated changes to the Draft Advertising Packet based on review comments provided by the UDOT Region Project Management Support Staff
- ☐ Confirm that the Consultant submitted the Final Advertising Packet to the UDOT Region Project Management Support Staff
- ☐ Confirm that the UDOT Region Project Management Support Staff prepared the items required on the Federal Advertising Checklist, initialed and dated the Checklist in the Support Staff column, and submitted the Final Advertising Packet to the UDOT Advertising Unit
- ☐ File a Copy of the Final Advertising Packet and completed Advertising Checklist

- TIMELINE -

The following table depicts the approximate timeline for the Advertising Packet:



6.1 ADVERTISING

- INTRODUCTION -

Contractors participate in the Advertising process to competitively bid on projects. The Bidding Requirements and Conditions Section of the Construction Manual of Instruction and Standard Specifications 00120 and 00515 outline the process.

To view or download the Construction Manual of Instruction from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=316. To otherwise obtain this document, contact the UDOT Central Construction and Materials Division.

- ACTIVITIES -

UDOT, in consultation with the LGA, performs the Advertising process. A brief overview of the advertising process activities is included below:

Advertise Project

UDOT advertises the project in local newspapers for a minimum period of four weeks. For contractor bidding requirements see Standard Specification 00120. To view or download the Standard Specification 00120 from the UDOT web site, refer to the following link: www.dot.state.ut.us/index.php/m=c/tid=302.

Consideration of Bid Proposals

UDOT publicly opens Bid Proposals, compares bids based on the summation of the quantities and the unit bid prices, and identifies the lowest bidder. UDOT, in consultation with the LGA, reserves the right to reject any or all Bid Proposals, waive technicalities, or advertise for new Bid Proposals.

Award of Contract

The LGA sends a letter of concurrence on LGA letterhead to the UDOT Project Manager. UDOT, in consultation with the LGA, awards the contract to the lowest responsible bidder within 30 calendar days following bid opening.

Execution of Contract and Notice to Proceed

The Contractor returns the signed contract, properly executed contract bonds, and all required insurances to UDOT within 15 calendar days following the date UDOT awarded the contract. UDOT executes the contract and issues the Contractor a written notice to proceed within 30 calendar days following receipt of the signed contract, bonds, and insurances if all documents are in order. No work may begin before UDOT issues the Notice to Proceed.

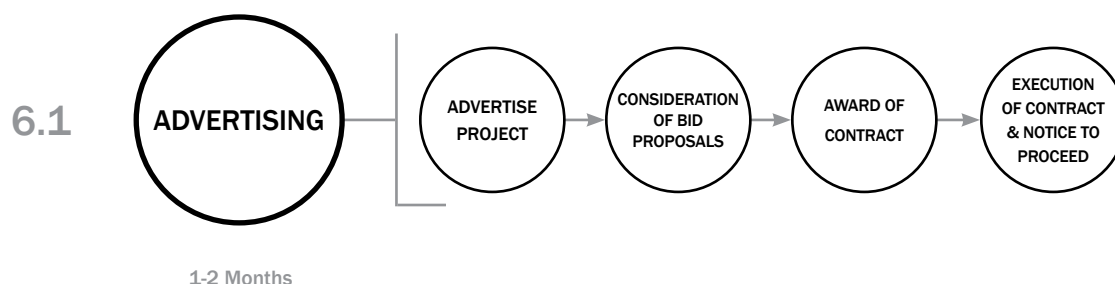
- ACTIVITY AND DELIVERABLES CHECKLIST -

The Manual of Construction and Standard Specifications 00120 and 00515 identify the activities and deliverables for the Advertising process. UDOT is responsible for the following activities:

- ☐ Advertise project for a minimum of 4 weeks
- ☐ Evaluate bid proposals
- ☐ Send out Notice of Award within 30 calendar days after bid opening
- ☐ Issue Notice to Proceed within 30 calendar days of receipt of all appropriate signed documents by contractor

- TIMELINE -

The following table depicts the approximate timeline for Advertising:



6.2 CONSTRUCTION ADMINISTRATION

- INTRODUCTION -

UDOT construction project administration involves decision-making and documentation of all processes to ensure project conformance to the plans and specifications. The UDOT Resident Engineer provides oversight to assure conformance with plans, specifications, and contracts. For post-award procedures, refer to Chapter III-B of the FHWA Contract Administration Core Curriculum Manual. To view or download this manual, refer to the following link: www.fhwa.dot.gov/programadmin/contracts/cor_IIIB.htm#IIIB2.

Any Consultant providing construction engineering services on behalf of UDOT or any Local Government Agency must comply with the following Certification requirements:

Certification Requirements for Construction Engineering Contracts

As of May 1, 2008 certification of staff is required for firms desiring to perform Construction Engineering Management (CEM) services on UDOT projects to execution of CEM contracts. It is the Consultant's responsibility to ensure that required staff meets current requirements for Construction Engineering Management Training (CEMT), Transportation Qualification Program (TTQP) for materials testing staff and Laboratory Qualification Program (LQP).

Additional Information

CEMT

Certification requirements for Resident Engineers, Field Engineers and Office Managers may be found on the CEMT website, www.udot.utah.gov/main/f?p=100:pg:::1:T,V:2041.

Contact the UDOT Construction Operations Specialist at 801-957-8538 for questions.

TTQP and LQP

Qualification requirements for technicians and labs may be found on the Materials website, www.udot.utah.gov/main/f?p=100:pg:::1:T,V:196.

Contact the UDOT Materials Quality Systems Engineer at 801-965-4227 for questions.

- ACTIVITIES -

The UDOT Construction Manual of Instruction identifies and defines all Construction Administration activities. To view or download the Construction Manual of Instruction from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=316. To otherwise obtain this document, contact the UDOT Central Construction and Materials Division.

Preconstruction/Partnering Conference

Within 14 days after Contractor has received Notice of Award, UDOT Resident Engineer will arrange and conduct a “pre-construction” conference with the Contractor and interested parties for the purpose of reviewing construction details, proposed schedules, communication protocol, identify personnel responsibilities and make initial coordination for beginning of work.

Contract Subletting

Requests by the Contractor to sublet work are submitted to UDOT Resident Engineer on Form C115. Requests to sublet work must be reviewed and approved by UDOT Resident Engineer before the subcontractors perform any work on the project. Contractor may not sublet more than 70% of total contract bid amount.

Anticipated Monthly Payment Schedule

UDOT Resident Engineer will review the monthly payment schedule issued by the Contractor and will request updated revisions from the Contractor when variances in project costs, changes in milestone dates, change orders are approved or there are any other factors that will affect the monthly payment schedule.

Baseline Construction Schedule

The Contractor shall provide the UDOT Resident Engineer a baseline construction schedule within 14 calendar days of the Notice of Award. The Engineer reviews and accepts the schedule within 30 calendar days of Notice of Award.

Construction Schedule Updates

The Contractor shall provide monthly updates to the construction schedule for UDOT review and acceptance.

Contract Time Extensions

The contract documents define the time allowed to complete the contract. The UDOT Engineer finishes a monthly status of contract time showing the number of days remaining for substantial completion. The Contractor may request a contract time extension for excusable delays detailing the reasons for a time extension and additional compensation, if applicable. The Engineer reviews and responds to the request in accordance to the contract specifications.

Change Orders

A change order, signed by the UDOT District Engineer, is required before proceeding with any change or extra work considered to be a major change, except in an emergency or unusual situations. A major change is a change that will significantly affect the cost of the project to the Federal Government or alter the termini, character, or scope of the work.

Force Accounts

Force account will only be used when necessary, such as when the Contractor and Resident Engineer cannot agree on a price for the extra work or when the extent of the work is unknown. The Engineer will keep accurate, daily records of the work as it is done and will be signed by the Contractor’s representative each day. At the conclusion of the work, force account charges will be summarized and the Contractor will furnish necessary documentation to support the charges, prior to receiving payment.

Control of Work

Although the Resident Engineer will in no way attempt to surprise work for the Contractor, the Resident Engineer is responsible to make certain the contract work is performed in accordance with the contract provisions and that all materials incorporated in the work have been tested and accepted by the proper authority. The Resident Engineer is also responsible to make certain that progress and events are properly documented, all records and reports are filled, and the Department’s interests are protected.

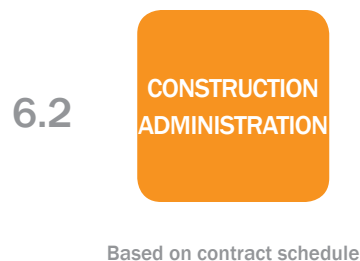
- ACTIVITY AND DELIVERABLES CHECKLIST -

The UDOT Construction Manual of Instruction identifies all Construction Administration activities and deliverables.

- ☐ Pre-Construction Meeting Notes
- ☐ Form C115 identifying subcontractors (one for each subcontractor)
- ☐ Monthly Payment Schedule
- ☐ Baseline Construction Schedule
- ☐ Monthly Updates to Construction Schedule
- ☐ Contract Time Extension Documentation (if needed)
- ☐ Change Order Documentation as required
- ☐ Force Account Documentation (if needed)

- TIMELINE -

The following table depicts the approximate timeline for Construction Administration:



6.3 MATERIALS TESTING

- INTRODUCTION -

Materials Testing assures that the materials incorporated into the project are in reasonable conformance with the plans and specifications. Materials testing must meet the requirements of the contract documents. The key components of materials testing are the Materials Acceptance and Independent Assurance Programs. The Materials Manual of Instruction outlines both programs.

To view or download the Materials Manual of Instruction from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=644. To otherwise obtain this document, contact the UDOT Central Construction and Materials Division.

The Materials Acceptance Program (MAP) includes acceptance testing and verification testing. The Consultant Engineer directs all acceptance tests. Individuals who meet the qualifications of the UDOT Technical Training and Qualification Program perform acceptance tests in laboratories that meet the requirements of the UDOT Laboratory Qualification Program.

The Independent Assurance Program (IA) includes independent assurance testing, personnel qualifications, and laboratory qualifications. UDOT qualified laboratory personnel or a UDOT designated agent performs IA activities in qualified testing laboratories in accordance with applicable procedures. For the purposes of this manual, the Testing Entity performs all MAP and IA activities.

Commitments related to the FHWA Stewardship Program establish requirements for the MAP. There is no difference between the requirements on a state funded project versus a Federally funded project. Changes to

the MAP require the approval of the UDOT Central Construction and Materials Division and the FHWA local office.

- ACTIVITIES -

The MAP located in the Materials Manual of Instruction details materials testing activities. The Contractor and Consultant must adhere to the Materials Manual of Instruction version that is current at the time UDOT bids the project.

Acceptance Testing

The Testing Entity performs Acceptance Testing activities in accordance with the specifications. The specifications identify the tests and the frequency of testing. The Testing Entity procedures for sampling the materials, performing tests, and documenting results must reference national standards such as AASHTO, American Society for Testing and Materials (ASTM) or UDOT standards and practices.

The UDOT Minimum Sampling and Testing Requirements (MS&T) define the minimum frequencies for Materials Acceptance Testing and represent the absolute minimum requirements for the identified materials. The contract specifications must not conflict with the MS&T. Failure to meet MS&T requirements may result in loss of Federal funds.

Verification Testing

The Testing Entity performs verification testing in accordance with the specifications for Design Build and QC/QA projects. The specifications identify the tests and the frequency of testing. The Testing Entity procedures for sampling the materials, performing tests, and documenting results must reference national standards such as AASHTO, ASTM or UDOT standards.

Independent Assurance Testing

The Materials Manual of Instruction outlines the requirements for Independent Assurance testing. The Testing Entity performs and documents Independent Assurance testing at a project level to maintain Federal participation.

Personnel and Laboratory Qualifications

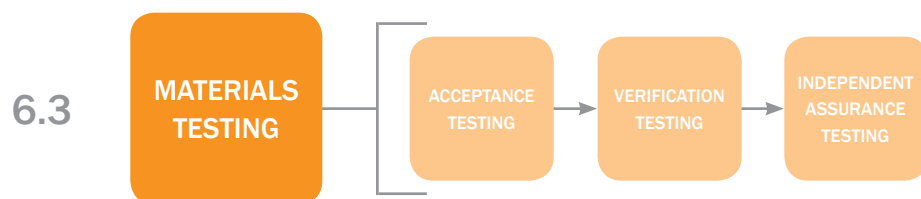
The Materials Manual of Instruction outlines personnel and laboratory qualifications. The Testing Entity adheres to and documents qualifications to validate acceptance testing.

- ACTIVITY AND DELIVERABLES CHECKLIST -

The Materials Testing deliverables include documentation that all sampling, testing, personnel, and equipment meet the requirements outlined in the contract documents.

- TIMELINE -

The Testing Entity performs Materials Testing documentation and Independent Assurance testing throughout the project as they perform sampling and testing activities. The Testing Entity completes Materials Testing documentation and Independent Assurance testing activities prior to project closeout. The Testing Entity documents personnel and laboratory qualification prior to performing any sampling or testing on the project. The following table depicts the approximate timeline for Materials Testing:



Based on contract schedule

6.4 PROJECT INSPECTION

- INTRODUCTION -



The Consultant Engineer, or his or her representatives on the project, performs project inspection activities and documents these activities on a daily basis. Forms of documentation include inspector's daily reports, materials placement inspection, project diaries, Measurement and Payment information, and project visual reviews related to traffic control and conformance items.

- ACTIVITIES -

The Construction Manual of Instruction outlines the required activities, information, and forms associated with project inspection. To view or download the Construction Manual of Instruction from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=316. To otherwise obtain this document, contact the UDOT Central Construction and Materials Division. The Consultant Engineer performs inspection and documentation activities as the project progresses. The Consultant Engineer completes project inspection activities prior to project closeout.

- ACTIVITY AND DELIVERABLES CHECKLIST -

The Construction Manual of Instruction includes checklists associated with project inspection.

- TIMELINE -

The following table depicts the approximate timeline for Project Inspection:

6.4



Based on contract schedule

6.5 PROJECT CLOSEOUT

- INTRODUCTION -



From a construction and materials standpoint, project closeout is likely the most crucial element of project administration. The Consultant Engineer collects and reviews all contract administration and materials testing and inspection products to assure that the necessary documents are present and that they comply with the plans, specifications, and contracts.

The project closeout products fit into one of two general categories: construction administration and materials acceptance. The Construction Manual of Instruction presents considerations for organizing and reviewing the project closeout products. Process reviews, performed by the Construction Division, are useful in identifying organizational and documentation needs. Project Closeout occurs following substantial completion of the Contractors' work.

- ACTIVITIES -

Construction Administration Documentation

Items associated with the Construction Administration Documentation include sub-contracts, correspondence, civil rights issues, payrolls, change orders, and diaries. The Consultant Engineer refers to the Construction Manual of Instruction to identify the procedures to follow and forms to use.

To view or download the Construction Manual of Instruction from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=316. To otherwise obtain this document, contact the UDOT Central Construction and Materials Division.

The Consultant Engineer reviews all construction related items. To obtain a comprehensive item review checklist, contact the UDOT Central Construction and Materials Division. The Consultant Engineer pays special attention to, and correctly maintains, the following items:

Civil Rights Issues: Disadvantaged Business Enterprise (DBE) Requirements, payroll, prompt payment

Change Orders: Detail regarding decisions and outcomes, appropriate signatures, and proper timing (i.e. before work is performed)

Traffic Control Reports

Pre-construction & Post-construction Meetings & Reports: detailed notes on discussions and decisions

Project Reports: Inspector's daily report, schedules, FHWA Inspections

Materials Acceptance Documentation

Items associated with the Materials Acceptance Documentation include mix designs, sampling processes, materials test reports, price adjustments, personnel qualifications, equipment calibrations, and laboratory qualifications. The Consultant Engineer refers to the Construction and Materials Manuals of Instruction to identify the proper procedures to follow and forms to use.

To view or download the Materials Manual of Instruction from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=644. To view or download the Construction Manual of Instruction from the UDOT web site, refer to the following link: www.udot.utah.gov/index.php/m=c/tid=316. To otherwise obtain these documents, contact the UDOT Central Construction and Materials Division.

The Consultant Engineer reviews all materials related items. To obtain a comprehensive item review checklist, contact the UDOT Central Construction and Materials Division. The Consultant Engineer pays special attention to, and correctly maintains, the following items:

C-106 Form – Price Adjustments: The Consultant Engineer includes a summary of details

C-196 Form – Materials Certification: The Consultant Engineer includes details of any non-conforming material incorporated in the project and identify whether the material is eligible for Federal Participation

T-348 Form – Materials Summary: The Consultant Engineer prepares a running total summary for material such as base courses. The Consultant Engineer uses these totals to verify that the minimum sampling and testing requirements were met

Source Acceptance Testing: Required for aggregates used in base and surface courses

Materials Certifications: Manufacturer supplied certifications documenting that the material is in conformance with project specifications

Personnel and Laboratory Qualifications: Documentation that qualified personnel performed acceptance testing using qualified equipment

Independent Assurance Testing: The Consultant Engineer reviews and documents personnel and equipment history

Visual Inspection Reports: The Consultant Engineer documents ALL requirements of the specification, whether the material meets specifications, and justification for allowing non-specification material to remain in place

Discrepancies

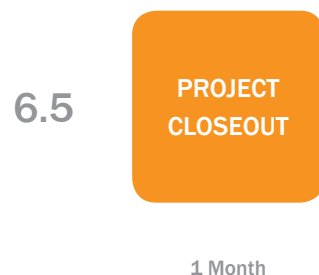
In the event that the Consultant failed to meet minimum frequency or specification requirements, the Consultant Engineer is responsible to address discrepancies through additional post-construction testing or engineering analysis. Contact the UDOT Region Materials Engineer for assistance in identifying possible approaches and solutions.

- ACTIVITY AND DELIVERABLE CHECKLIST -

The Maintenance and Construction Manuals of Instruction include activity and deliverable checklists.

- TIMELINE -

The following table depicts the approximate timeline for Project Closeout:



7.1 PROJECT CONTRACT AUDITS

- INTRODUCTION -

Project third party contract-related audits performed in accordance with generally accepted auditing standards directly benefit Federal Aid projects. Consultant and utility contracts relating to Federal Aid projects are subject to a post audit by representatives of the state and Federal Government. UDOT performs audits on all consultant contracts over \$250,000. However, UDOT may perform audits on contracts less than \$250,000 if:

- The entity has past audit problems, is unfamiliar with Federal regulations, or has few contracts with UDOT
- UDOT has concerns with contract costs
- The contract is otherwise selected for audit review

UDOT uses no dollar threshold in determining the need for Utility contract audits. Lump sum Utility agreements do not require later audit confirmation.

- ACTIVITIES -

UDOT Internal Audit and the UDOT Comptroller's Office are responsible for coordinating and scheduling the following post audit contract activities:

- Receive final contract billing from the Consultant or Utility
- Determine if a Consultant or utility post audit is required
- Confirm that the UDOT Comptroller's Office submitted request for contract audit to Internal Audit
- Perform a post audit in accordance with generally accepted auditing standards
- Issue a post audit report
- Confirm that the UDOT Comptroller's Office processed post audit finding recommendations
- Update the contract status in Electronic Contract Database

- ACTIVITY AND DELIVERABLES CHECKLIST -

The UDOT Comptroller's Office completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Confirm receipt of the final Consultant or Utility contract billing
- ☐ Confirm that Internal Audit determined if a Consultant or Utility post audit was required
- ☐ Confirm that the UDOT Comptroller's Office submitted the request for contract audit to Internal Audit
- ☐ Confirm that Internal Audit issued a post audit report
- ☐ Confirm that the UDOT Comptroller's Office processed post audit finding recommendations
- ☐ Confirm that the UDOT Comptroller's Office updated the contract status in Electronic Contract Database

- TIMELINE -



7.2 FINANCIAL PROJECT CLOSEOUT

- INTRODUCTION -

Project closeout with FHWA is the final process of the project life cycle. Upon project completion, UDOT Systems Planning and Programming issues a Termination of Authority notice to notify FHWA of project closure. UDOT terminates projects within three months of construction completion.

- ACTIVITIES -

The process of closing Federal Aid projects includes the following activities:

Final Accounting

The UDOT Comptroller's Office performs a final accounting of the project financial records and closes all non-contractual phases (03C, 05E, 07R, and 12S) of the project for expenditures upon project termination. Final accounting also includes reconciliation of contract expenditures to project records and monitoring outstanding items such as final contract billings and post audits.

Document Maintenance

FHWA requires UDOT and the LGA to maintain the following documents. These documents must accompany the final voucher:

- Statement of Materials and Labor (Form FHWA-47M) used by contractors on highway construction
- Final Contractor Estimate
- Materials Certification (Form C196)
- Certification that railroad work and utility work is complete in accordance with terms of the agreement
- Utility Fiscal Review Report (Form C193) completed by Project Manager
- Right-of-way map or plan
- Statement of right of way costs reflecting parcel numbers, parcel cost, cost of excess land, and incidental expenses

Final Voucher

The UDOT Comptroller's Office submits the final voucher to FHWA. The final voucher is a financial summary of all project costs incurred and the amount of Federal reimbursements paid.

Release of Federal Funds

UDOT Systems Planning and Programming releases unexpended, project obligated Federal funds in the Financial Management Information System (FMIS).

Final Records Retention

Refer to 49 CFR Part 18.42 (a)(2)(b), Length of Retention Period.

Project Monitoring and Tracking

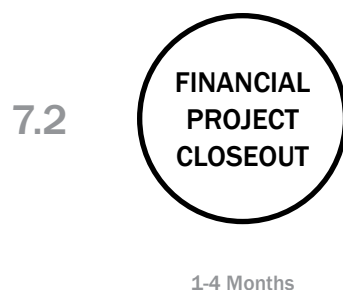
The UDOT Comptroller's Office performs project monitoring and tracking on terminated projects. Monitoring and tracking includes quarterly reminders to responsible officials for project closure.

- ACTIVITY AND DELIVERABLES CHECKLIST -

The UDOT Comptroller's Office completes and files the following checklist and associated deliverables. A copy of this checklist is included in the Appendix.

- ☐ Obtain the Final Construction Estimate from the Construction Division
- ☐ Obtain the Termination of Authority (Form R-77) issued by UDOT Systems Planning and Programming
- ☐ Confirm that the UDOT Comptroller's Office entered the project into the Electronic Project Tracking Database for monitoring closeout of the completed project
- ☐ Confirm that the UDOT Comptroller's Office closed FINET project phases for control of non-contractual project expenditures
- ☐ Submit final Consultant/Utility Contracts
- ☐ Confirm that UDOT closed all contracts
- ☐ Confirm that the UDOT Comptroller's Office reconciled the contract expenditures to project accounting
- ☐ Confirm that Internal Audit requested or performed post audits on the consultant and utility contracts
- ☐ Confirm that the UDOT Comptroller's Office submitted a preliminary voucher to UDOT Systems Planning and Programming for review and to adjust FMIS for under/excess funding obligations
- ☐ Confirm that the Right-of-Way Cost Certification was prepared and approved by Director of Right-of-Way
- ☐ Confirm that FHWA issued the Final Acceptance Report (Form 1466B) on non-stewardship projects
- ☐ Confirm that the UDOT Comptroller's Office processed and submitted the Final Voucher to the FHWA Division Office with certification by an authorized representative of UDOT
- ☐ Confirm processing of the final billing
- ☐ Confirm the UDOT Systems Planning and Programming released unexpended Federal funds obligated in FMIS
- ☐ Confirm project closure in FINET, FMIS, and ePM Systems

- TIMELINE -



8.1 ACTIVITY AND DELIVERABLES CHECKLISTS

- 5.1 Federal Aid Agreement Activity and Deliverable Checklist
- 5.2 Consultant Design Contract Activity and Deliverable Checklist
- 5.3 Environmental Document and Preliminary Design Activity and Deliverables Checklist
- 5.5 Federal Aid Agreement Modification – Right-of-Way Activity and Deliverables Checklist
- 5.6 Final Design Activity and Deliverables Checklist
- 5.7 PS&E Review Activity and Deliverables Checklist
- 5.8 Federal Aid Agreement Modification – Construction Activity and Deliverables Checklist
- 5.9 Consultant Construction Contract Activity and Deliverables Checklist
- 5.10 Advertising Packet Activity and Deliverables Checklist
- 7.1 Project Contract Audit Activity and Deliverables Checklist
- 7.2 Project Financial Closeout Activity and Deliverables Checklist

8.2 SAMPLE FEDERAL AID AGREEMENTS

One-Stop Federal Aid Agreement

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

5.1 FEDERAL AID AGREEMENT ACTIVITY AND DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The LGA completes and files the following checklist and associated deliverables.

- ☐ Hold Project Orientation Meeting
- ☐ Prepare, distribute, and file the Project Orientation Meeting agenda and minutes
- ☐ Confirm that UDOT Project Manager prepared the Draft Federal Aid Agreement
- ☐ Confirm that UDOT Project Manager prepared the Final Federal Aid Agreement
- ☐ Confirm that UDOT prepared five originals of the Final Federal Aid Agreement and obtained LGA, UDOT Region Director, and, as necessary, the UDOT Engineering Services Director signatures
- ☐ Confirm that UDOT Consultant Services distributed final copies of the Agreement
- ☐ File one original copy of the Federal Aid Agreement with signatures
- ☐ Deposit Matching Funds with the UDOT Comptroller's Office

Approval for Flexible Match must be part of the Federal Aid Agreement.

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

5.2 CONSULTANT DESIGN CONTRACT

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The LGA completes and files the following checklist and associated deliverables.

- ☐ Select a Consultant for the project with help from the UDOT Project Manager
- ☐ Schedule and conduct the Contract Scoping Meeting
- ☐ Prepare, distribute, and file the Contract Scoping Meeting agenda and minutes
- ☐ Prepare independent Scope of Work with help from the UDOT Project Manager
- ☐ Confirm that the Consultant prepared a Detailed Work Plan
- ☐ Prepare ICE with help from the UDOT Project Manager
- ☐ Prepare Local Government Project Manager Review Memo and submit to the UDOT Project Manager
- ☐ Confirm that UDOT Consultant Services sent a Selection Notification Letter to the Consultant (Only for RFQ selection)
- ☐ Confirm that the Consultant provided the following contract information and documentation to the UDOT Project Manager:
 - ☐ Detailed Work Plan
 - ☐ Cost Proposal
 - ☐ QC/QA Plan
 - ☐ Sub-consultant Information
 - ☐ Executive Summary
 - ☐ Work Schedule
 - ☐ Staffing Plan
 - ☐ Certificate of Liability Insurance
- ☐ Confirm that the UDOT Project Manager prepared the following contract items:
 - ☐ Items from the Consultant
 - ☐ ICE
 - ☐ Consultant Financial Screening Form
 - ☐ R-709
 - ☐ Scope of Work
 - ☐ ePM Screen 505
 - ☐ Project Manager Approval Memorandum
- ☐ Confirm that Consultant Services processed the contract information, distributed the contract for signature, provided Notice to Proceed, and distributed the executed contract
- ☐ Confirm that the UDOT Project Manager set up the project in the ePM system

COMMENT

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

5.3 ENVIRONMENTAL DOCUMENT AND PRELIMINARY DESIGN ACTIVITY AND DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The LGA completes and files the following checklist and associated deliverables.

- ☐ Confirm that the Federal Aid Agreement is executed prior to initiation of any environmental work
- ☐ File the list of potential environmental impacts
- ☐ Confirm that the Consultant submitted the list of potential environmental impacts to the Region Environmental Manager along with a copy of the Local Government Project Concept Report
- ☐ Confirm that the Environmental Manager, in conjunction with FHWA, determined document type required for the project
- ☐ Confirm that the Consultant, in conjunction with UDOT, prepared the Environmental Document (Draft and Final)
- ☐ File a copy of all Environmental Documents (Draft and Final)
- ☐ Confirm that the Consultant completed and submitted QC/QA forms
- ☐ Confirm that the UDOT Project Manager performed required reviews
- ☐ Confirm that the UDOT Project Manager sent a UDOT Review Certification email or letter to the Consultant and LGA

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

5.5 FEDERAL AID AGREEMENT MODIFICATION – RIGHT-OF-WAY ACTIVITY & DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The LGA completes and files the following checklist and associated deliverables.

- ☐ Confirm that the UDOT Project Manager prepared the Draft Federal Aid Agreement
- ☐ Confirm that Consultant prepared and submitted initial right-of-way cost estimate, resource plan, and parcel maps to UDOT Consultant Services
- ☐ Confirm that UDOT Consultant Services forwarded the initial right-of-way cost estimate, resource plan, and parcel maps to UDOT Right-of-Way for review
- ☐ Confirm that UDOT Right-of-Way approved the initial right-of-way cost estimate, resource plan, and parcel maps
- ☐ Confirm that UDOT prepared five originals of the Final Federal Aid Agreement and obtained LGA, UDOT Region Director, and, as necessary, the UDOT Engineering Services Director signatures
- ☐ Confirm that the UDOT Project Manager forwarded all five originals of the Federal Aid Agreement, completed R-709 form, initial right-of-way cost estimate, resource plan, and parcel maps to UDOT Consultant Services
- ☐ Confirm that UDOT Consultant Services forwarded the completed R-709 form to UDOT Systems Planning and Programming for approval
- ☐ Confirm that UDOT Systems Planning and Programming approved the R-709 form
- ☐ Confirm that UDOT Consultant Services distributed final copies of the Federal Aid Agreement
- ☐ File one original copy of the Federal Aid Agreement with signatures
- ☐ Deposit Matching Funds with the UDOT Comptroller's Office

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

5.6 FINAL DESIGN ACTIVITY AND DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The LGA completes and files the following checklist and associated deliverables.

- ☐ Prepare Final Plans
- ☐ Prepare Special Provisions
- ☐ Prepare Measurement and Payment
- ☐ Prepare PDBS Engineer's Estimate
- ☐ Confirm that the Consultant completed and submitted QC/QA Forms to the UDOT Project Manager
- ☐ Confirm that the UDOT Project Manager sent the Review Certification email or letter to the Consultant and LGA

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

5.7 PS&E REVIEW ACTIVITY AND DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The LGA completes and files the following checklist and associated deliverables.

- ☐ Agree on and document PS&E meeting elements
- ☐ Confirm that the Consultant prepared and distributed the PS&E Packet
- ☐ File a copy of the PS&E Packet
- ☐ Conduct PS&E Meeting
- ☐ Confirm that the Consultant addressed participant comments in PS&E Meeting Minutes
- ☐ Confirm that the Consultant submitted the PS&E Meeting Minutes to the meeting participants
- ☐ File PS&E Meeting Minutes
- ☐ File PS&E Packet

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

5.8 FEDERAL AID AGREEMENT MODIFICATION – CONSTRUCTION ACTIVITY AND DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The LGA completes and files the following checklist and associated deliverables.

- ☐ Confirm that UDOT Project Manager prepared the Draft Federal Aid Agreement
- ☐ Confirm that UDOT Project Manager prepared the Final Federal Aid Agreement
- ☐ Confirm that UDOT prepared five originals of the Final Federal Aid Agreement and obtained LGA, UDOT Region Director, and, as necessary, the UDOT Engineering Services Director signatures
- ☐ Confirm that UDOT Consultant Services distributed final copies of the Federal Aid Agreement
- ☐ File one original copy of the Federal Aid Agreement with signatures
- ☐ Deposit Matching Funds with the UDOT Comptroller's Office

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

5.9 CONSULTANT CONSTRUCTION CONTRACT ACTIVITY AND DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The LGA completes and files the following checklist and associated deliverables.

- ☐ Select a Consultant for the project with help from the UDOT Project Manager
- ☐ Schedule and conduct the Construction Engineering Scoping Meeting
- ☐ Prepare, distribute, and file the Contract Scoping Meeting agenda and minutes
- ☐ Prepare independent Scope of Work with help from the UDOT Project Manager
- ☐ Confirm that the Consultant prepared a Detailed Work Plan
- ☐ Prepare ICE with help from the UDOT Project Manager
- ☐ Prepare Letter of Concurrence and submit to the UDOT Project Manager
- ☐ Confirm that UDOT Consultant Services sent a Selection Notification Letter to the Consultant (Only for RFQ selection)
- ☐ Confirm that the Consultant provided the following contract information and documentation to the UDOT Project Manager:
 - ☐ Detailed Work Plan
 - ☐ Cost Proposal
 - ☐ QC/QA Plan
 - ☐ Sub-consultant Information
 - ☐ Executive Summary
 - ☐ Work Schedule
 - ☐ Staffing Plan
 - ☐ Certificate of Liability Insurance
- ☐ Confirm that the UDOT Project Manager prepared the following contract items:
 - ☐ Items from the Consultant
 - ☐ ICE
 - ☐ Consultant Financial Screening Form
 - ☐ Project Manager Approval Memorandum
 - ☐ Scope of Work
 - ☐ ePM Screen 505
 - ☐ R-709
- ☐ Confirm that Consultant Services processed the contract information, distributed the contract for signature, provided Notice to Proceed, and distributed the executed contract
- ☐ File executed contract

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

5.10 ADVERTISING PACKET ACTIVITY AND DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The LGA completes and files the following checklist and associated deliverables.

- ☐ Confirm that the Consultant prepared the Draft Advertising Packet
- ☐ Confirm that the Consultant submitted the Draft Advertising Packet to the UDOT Region Project Management Support Staff for review
- ☐ Confirm that the UDOT Region Project Management Support Staff reviewed the Draft Advertising Packet and provided comments to the Consultant following receipt of the Draft Advertising Packet
- ☐ Confirm that the Consultant incorporated changes to the Draft Advertising Packet based on review comments provided by the UDOT Region Project Management Support Staff
- ☐ Confirm that the Consultant submitted the Final Advertising Packet to the UDOT Region Project Management Support Staff
- ☐ Confirm that the UDOT Region Project Management Support Staff prepared the items required on the Federal Advertising Checklist, initialed and dated the Checklist in the Support Staff column, and submitted the Final Advertising Packet to the UDOT Advertising Unit
- ☐ File a Copy of the Final Advertising Packet and completed Advertising Checklist

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

7.1 PROJECT CONTRACT AUDIT ACTIVITY AND DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The UDOT Comptroller's Office completes and files the following checklist and associated deliverables.

- ☐ Confirm receipt of the final Consultant or utility contract billing
- ☐ Confirm that Internal Audit determined if a Consultant or utility post audit was required
- ☐ Confirm that the UDOT Comptroller's Office submitted the request for contract audit to Internal Audit
- ☐ Confirm that Internal Audit issued a post audit report
- ☐ Confirm that the UDOT Comptroller's Office processed post audit finding recommendations
- ☐ Confirm that the UDOT Comptroller's Office updated the contract status in Electronic Contract Database

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____

LOCAL GOVERNMENT TRANSPORTATION CHECKLIST

7.2 FINANCIAL PROJECT CLOSEOUT ACTIVITY AND DELIVERABLE CHECKLIST

Project Name: _____

Project Number: _____ PIN: _____

ACTIVITIES

The UDOT Comptroller's Office completes and files the following checklist and associated deliverables.

- ☐ Obtain the Final Construction Estimate from the Construction Division
- ☐ Obtain the Termination of Authority (Form R-77) issued by Systems Planning and Programming
- ☐ Confirm that the UDOT Comptroller's Office entered the project into the Electronic Project Tracking Database for monitoring closeout of the completed project
- ☐ Confirm that the UDOT Comptroller's Office closed FINET project phases for control of non-contractual project expenditures
- ☐ Submit final Consultant/Utility Contracts
- ☐ Confirm that UDOT closed all contracts
- ☐ Confirm that the UDOT Comptroller's Office reconciled the contract expenditures to project accounting
- ☐ Confirm that Internal Audit requested or performed post audits on the consultant and utility contracts
- ☐ Confirm that the UDOT Comptroller's Office submitted a preliminary voucher to Systems Planning and Programming for review and to adjust FMIS for under/excess funding obligations
- ☐ Confirm that the Right-of-Way Cost Certification was prepared and approved by Director of Right-of-Way
- ☐ Confirm that FHWA issued the Final Acceptance Report (Form 1466B) on non-stewardship projects
- ☐ Confirm that the UDOT Comptroller's Office processed and submitted the Final Voucher to the FHWA Division Office with certification by an authorized representative of UDOT
- ☐ Confirm processing of the final billing
- ☐ Confirm the UDOT Systems Planning and Programming released unexpended Federal funds obligated in FMIS
- ☐ Confirm project closure in FINET, FMIS, and ePM Systems

COMMENTS

Date Completed: _____ Completed By: _____

Signature: _____



State of Utah
Department of Transportation



| | | |
|--|------------------|--|
| Federal Aid Agreement for Local Agency Project CFDA No. 20.205 | | Maximum Project Value Authorized |
| PIN Number | Project Number | Agreement Number (Assigned By Comptrollers) |
| FINET Number | Project Location | |
| FMIS Number | | Date Executed |

The Utah Department of Transportation (UDOT) will authorize the Local Agency to proceed on the project upon execution of this agreement providing the Local Agency has complied, or hereby agreed to comply, with the terms and conditions set forth in (1) Title 23, U.S. Code Highways, (2) the regulations issued pursuant thereto, (3) Office of Management and Budget Circulars A-102, A-87, and A-133, (4) Utah State Code, (5) Utah Department of Transportation Local Government and State Aid Project Guide, (6) the Federal Aid Project Agreement entered into between UDOT and the Federal Highway Administration (FHWA), relative to the above project. Federal funds which are to be obligated for the project may not exceed the amount shown herein, without written authority by UDOT, subject to the approval of FHWA. All project costs not reimbursed by FHWA shall be the responsibility of the Local Agency. No costs are eligible for federal-aid reimbursement until authorized by the FHWA through Form R-709, Request for Federal Aid Project Approval, separate from this Local Agency Agreement.

State Wide Transportation Improvement Program STIP

| Fund* | Prior | | | | | Total | Fed Aid | State | Other | Pct |
|--------|-------|--|--|--|--|-------|---------|-------|-------|-----|
| | | | | | | | | | | |
| Total: | | | | | | | | | | |

*<http://www.udot.utah.gov/go/stipfundtable>

Upon signing this agreement the Local Agency agrees to pay its estimated matching share in phases when requested by UDOT. Phases typically include environmental, design, right-of-way and construction. The local match for this project is represented by the percentages of the Total Project Value shown above. In addition the Local Agency agrees to pay 100% of the overruns that exceed \$0.00 and any ineligible costs when requested by UDOT.

UDOT will request payment of matching shares and overruns through an email that will be sent to _____ at _____ the Local Agency Contact. The Local Agency shall pay within 30 days after each payment request. The Local Agency shall make the check payable to the Utah Department of Transportation referencing the project number above and mail to UDOT Comptroller's Office, Box 141510, 4501 South 2700 West, Salt Lake City, Utah 84119-5998.

Utah Department of Transportation

By _____ Date _____ By _____ Date _____
Region Director

By _____ Date _____
Comptrollers Office

Provisions

I. Roles and Responsibilities:

In accordance with 23 U.S.C. 106© and 23 CFR 635.105 the Utah Department of Transportation is responsible for acting on behalf of the Federal Highway Administration in the determination of federal-aid eligibility on all Local Agency Federal-aid projects as described in Appendix C of the FHWA-UDOT Stewardship Oversight Agreement.

II. Project Authorization for Federal-aid:

The Local Agency, through UDOT, must obtain an Authorization to proceed from FHWA before beginning work on any Federal-aid project. Federal funds shall not participate in costs incurred prior to the date of Authorization except as provided by 23 CFR 1.9(b).

III. Agreement provisions:

The Local Agency accepts and agrees to comply with the applicable terms and conditions set forth in title 23, U.S.C., the regulations issued pursuant thereto, the policies and procedures promulgated by FHWA relative to the designated project covered by the agreement, and all other applicable Federal laws and regulations.

IV. Liability:

Local Agency agrees to hold harmless and indemnify UDOT, its officers, employees and agents (Indemnities) from and against all claims, suits and costs, including attorneys' fees for injury or damage of any kind, arising out of the Local Agency's negligent acts, errors or omissions in the performance of this project, and from and against all claims, suits and costs, including attorneys' fees for injury or damage of any kind, arising out of Indemnities' failure to inspect, discover, correct, or otherwise address any defect, dangerous condition or other condition created by or resulting from Local Agency's negligent acts, errors or omissions in the performance of this project.

Any periodic plan and specification review or construction inspection performed by UDOT arising out of the performance of the project does not relieve the Local Agency of its duty in the performance of this project or to ensure compliance with acceptable standards.

V. Termination:

This agreement may be terminated as follows:

- a. By mutual agreement of the parties, in writing
- b. By either UDOT or the Local Agency for failure of the other party to fulfill their obligations as set forth in the provisions of this agreement. Reasonable allowances will be made for circumstances beyond the control of the parties. Written notice of intent to terminate is required and shall specify the reasons for termination.
- c. By UDOT for the convenience of the State upon written notice to the Local Agency.
- d. Upon satisfactory completion of the provisions of this agreement.
- e. By UDOT, in the event that construction of the project for which this design engineering is undertaken is not started

by the close of the fifth fiscal year following the fiscal year in which this agreement is executed.

VI. Single Audit Act:

The Local Agency, as a sub-recipient of federal funds, shall adhere to the Federal Office of Management and Budget (OMB) Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations,

<http://www.whitehouse.gov/omb/circulars/a133/a133.html>. A sub-recipient who expends \$500,000 or more in federal awards from all sources during a given fiscal year shall have a single or program-specific audit performed for that year in accordance with the provision of OMB Circular A-133. Upon conclusion of the A-133 audit, the Local Agency shall be responsible for ensuring that a copy of the report is transmitted to the Utah Department of Transportation, Internal Audit, 4501 S 2700 W, Box 148230, Salt Lake City, Utah 84114-8230.

VII. Maintenance:

The Local Agency shall properly maintain and restore each type of roadway, structure and facility as nearly as possible in its original condition as constructed or improved in accordance with State and Federal requirements. Future utility installations will be made according to UDOT's "Regulations for the Accommodation of Utilities on Federal-aid and Non Federal-aid Highway Right-of-Way."

VIII. Availability of Records:

For a period not less than three (3) years from the date of final project close out with Federal Government, the Local Agency accounting records pertaining to the federal aid project are to be kept available for inspection and audit by the State and Federal Government, or furnished upon request.

IX. Payment and Reimbursement to UDOT:

UDOT shall not be ultimately responsible for any of the cost of the project. The Local Agency shall be responsible for all costs associated with the project which are not reimbursed by the Federal Government. For a Joint Highway Committee project, the federal participation for construction engineering costs is limited to 20 percent of the construction contract costs.

Funds requested beyond the amount set forth will require execution of a Supplemental Financial Agreement.

If the project overruns in costs, the Local Agency shall pay the additional amount required within 30 days of receiving the invoice. Should the Local Agency fail to reimburse UDOT for costs that exceed the federal reimbursement, federal funding for other Local Agency projects or B&C road funds may be withheld until payment is made.

If the advanced amount exceeds the Local Agency's share of project cost, UDOT will return the amount of overpayment to the Local Agency upon financial close out of the project.

UDOT shall provide the Local Agency with a quarterly statement reflecting a cost summary of project costs.

X. Reimbursement Claims by Local Agency:

The local agency shall bill UDOT for eligible federal aid project cost incurred after FHWA approval for authorization to proceed

(form R709) and in conformity with applicable federal and state laws. Authorized Local Agency reimbursement claims should be submitted to UDOT Project Manager. Reimbursements to the Local Agency for right of way claims are classified as a pass-through of Federal funds from UDOT to the Local Agency. Expenditures by the Local Agency for general administration, supervision, and other overhead shall not be eligible for federal participation unless an indirect cost plan has been approved by the Federal government. f.

XI. Right of Way:

The Local Agency shall comply with 23 CFR 710.203 for FHWA reimbursement requests of real property acquisitions. A Local Agency shall not request reimbursement for excess acquisitions which are not eligible for FHWA reimbursement under 23 CFR 710.203 <http://www.gpoaccess.gov/cfr/retrieve.html> (6) Property not incorporated into a project funded under title 23 of the United States Code.

For real property disposals the Local Agency shall comply with 23 CFR 710.409 and 710.403. The Local Agency should have property management records, which identify inventories of real property considered excess to project needs. If a Local Agency determines that real property initially acquired as part of the project is declared excess and disposed of the Local Agency must comply with 23 CFR 710.409 and 710.403. This requires that the Federal share of net income from the sale or lease of real property acquired with Federal assistance be used for Title 23 eligible projects. Refer to <http://www.gpoaccess.gov/cfr/retrieve.html> for additional information. The Local Agency shall deposit the net proceeds from the sale or lease with UDOT to be applied towards a Title

23 eligible project as authorized by the appropriate Metropolitan Planning Organization or the Joint Highway Committee.

For UDOT right-of-way certifications required for advertising access the following:
<http://www.udot.utah.gov/main/f?p=100:pg:::::1:T,V:808,34728>

XII. Change in Scope and Schedule:

Local Agency recognizes that if a project scope changes from the original intent of the project application, the project will need to be re-evaluated by the responsible agency that programmed the project. Such a review may result in approval of the scope change, removal from the program, or adjustment in the federal aid funds programmed for the project.

Local Agency is responsible for the schedule of the project. If project cannot progress as programmed, the responsible programming agency may advance other projects and require the project to wait for next available funding.

XIII. UDOT Service Costs:

UDOT may provide expertise in project management, contract preparation, design plan reviews, advertising, construction materials verification/certification, technical assistance, engineering services or other services as needed. Appropriate charges for these costs will be included in invoices to the Local Agency.

XIV. Content Review:

Language content was reviewed and approved by the Utah AG's office on June 20, 2008.